COMMONS AND PARTNERSHIPS: COLLABORATIVE APPROACHES TO AFFORDABLE HOUSING PROVISION IN ENGLAND AND CHINA

by

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Abstract

This thesis addresses two overarching questions: What is collaborative housing and how does it operate in different societal contexts? It combines a critical realism analytical framework with theoretical concepts drawn mainly from new institutional economics, including common-pool resources. The idea of collaborative housing dates back to the nineteenth-century cooperative movement and garden cities. Its recent re-emergence responds to various factors, such as housing affordability, changing lifestyles and environmental concerns in different countries. The depth analysis of four English and Chinese rural and urban projects since the 2000s indicated the impact of neoliberalism via decentralisation in shaping contexts from which collaborative housing ideas emerged. Three principles of co-operation, co-production and collaborative governance, proved powerful in providing legitimacy to secure resources from public and private sources and a rationale for collective project governance.

The author developed a five-pillar framework, (Actors, Partnerships, Ideas, Land and Finance), and refined this abductively to identify causal mechanisms including cultural entrepreneurship, common/public land rights, limited-liability-partnerships, empty land and financial flexibility. A sense-making framework was used to understand the social meanings of collaborative housing and its enactment in civil society in two different societies.

Dedication

This dissertation is dedicated to this colourful world and my extended family members, especially my aunt.

Acknowledgements

Thank you to my first university, China University of Political Science and Law, in which I found my interest in Policy Science and met many excellent scholars, including Professor Elinor Ostrom.

Thank you to the people who kindly shared their valuable ideas, experiences and opinions about collaborative forms of housing and associated activities with me. I am very grateful for your generosity with your time and help. I am especially indebted to the two hundred research participants in case studies, surveys and communication, such as National CLT Network and Mr X (the initiator of the Shanghai case in the thesis), and important academics, such as Tianming Zhang, Xiaoyi Zhai, Richard Lang, Darinka Czischke, Claire Carriou John Davis, Jianping Ye and Sheila Foster. Your thoughts were important contributions to this thesis.

Thank you to the University of Birmingham, in which I continue to broaden my academic view of the world. Special thanks to my supervisors, Professor David Mullins and Doctor Harriet Clarke. You are always carefully cultivating my patterns of thinking and developing my research capabilities in Social Science. It equips my professional and transferable skills to design, manage and address complex academic and practical issues. Meanwhile, your invaluable guidance and friendship are greatly appreciated.

Thank you to my parents and extended families for your everlasting love. I consider myself especially fortunate to have you.

Table of Contents

List of Appendices

List of Figures

CHAPTER 1: COLLABORATIVE HOUSING

1.1 Research background

Collaborative forms of housing have re-emerged in recent years in many countries and vary both in their names and models (Mullins and Moore, 2018; Liu et al., 2017; Tummers, 2016; Davis, 2015; Wang, 2014). The 2007-2008 Global Financial Crisis is argued to be one of the main reasons for this re-emergence, but historical and social origins are also important (Mullins and Moore, 2018; Lang et al., 2018). For example, changing modern lifestyles are one explanation (Tummers, 2016; Lang et al., 2018).

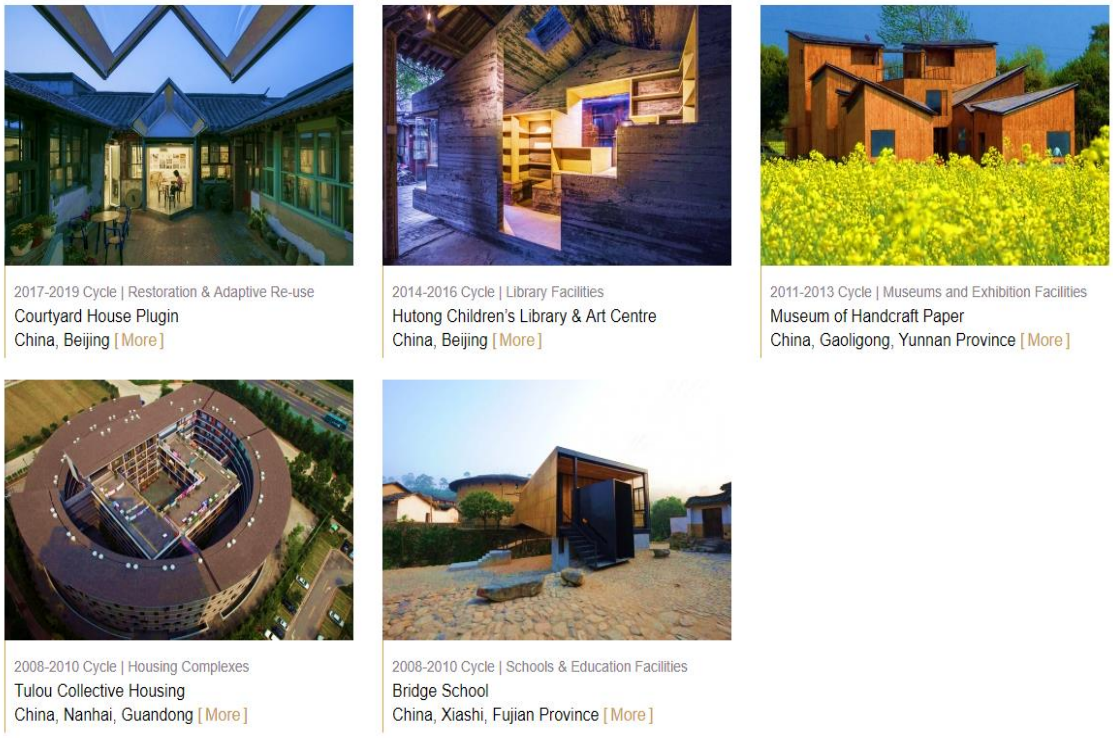
Another interpretation is that collaborative housing is a form of self-help that is primarily community-driven, whereas, in practice, projects usually engage with the state and market to acquire the resources they need to develop (Moore and Mullins, 2018; Moore and McKee, 2012). Collaborative approaches to addressing housing issues have a long history, including such forms as cooperatives and the garden city movement (Howard, 1965; Lang and Mullins, 2015; Lang and Novy, 2014). In the modern context in England, community-led housing (CLH) is the generic term used to refer to a range of models, such as community land trusts (CLTs), cooperatives, cohousing, self-help housing, and self-build housing (ibid.). Elsewhere in Europe, cohousing is more common in practice, and collaborative housing is the generic term (Lang and Mullins, 2015; Tummers, 2016; Tummers, 2016; Lang et al., 2018).

In China, a trend of grassroots cooperative housing (‘个人集资建房’) has emerged in urban areas since 2003 (http://french.china.org.cn/english/BAT/189436.htm, Accessed: 10 June 2017; Wang, 2014; Wu, 2007). It entails certain collaborative elements, such as engaging individual citizens, and real estate companies making joint decisions with citizens towards housing planning, construction, and consumption (Wu, 2007). These grassroots-led activities often use deliberation and principled negotiations to address the shortage of affordable houses (ibid.). On 20 November 2006, China Central Television broadcasted a TV programme, ‘Do You Build Your Home to Sell Yourself?’ (自己盖房卖给自己?), to discuss these urban grassroots collaborative housing practices (http://news.sina.com.cn/c/2006-11-20/212111568185.shtml, Accessed: 19 October 2018). Given the rural collective land ownership and village self-governance systems in China, self-help and self-build housing are also traditional approaches to house building (Song, 2015; Liang, 2014; Wang and Wang, 2014; Li, 2008; Miao, et al., 1997).

The traditional Chinese urban and rural collective living culture evolves with changes to architectural styles, population numbers and aspirations, which brings different forms of collaborative housing provision (Liu et al., 2017; Liang, 2014; Wang and Wang, 2014; Li, 2008; https://beebreeders.com/the-evolution-of-collective-living-in-china, Accessed: 19 August 2019; https://architizer.com/blog/inspiration/collections/collective-housing-in-china/, Accessed: 19 August 2019). For example, the Aga Khan Award for Architecture, an international architectural prize (mainly in Asia, Africa and the Middle East), awarded five Chinese projects, in which Courtyard House Plugin and Tulou Collective Housing were two rural collaborative forms of affordable housing purposes

(https://www.akdn.org/architecture/projects?combine=&field_arch_country_tid_i18n%5B%5D=7426, Accessed: 19 August 2019) (Figure 1-1). Another two Aga Khan Award winners, the rural Museum of Handcraft Paper and Bridge School, also have mixed accommodation uses, neighbourhoods and wide social purposes to address the needs of the local communities. The small-scale urban Hutong Children's Library and Art Centre, one kilometre from Tiananmen Square in Beijing, celebrates the traditional Hutong life of local residents and fosters bonds between local communities.

Figure 1-1: Modern collaborative forms of housing and related projects



(Source:https://www.akdn.org/architecture/projects?combine=&field_arch_country_tid_i18n%5B%5D=7426, Accessed: 19 August 2019.)

In European academic circles, 'collaborative housing' is increasingly used as an umbrella term for the variety of collective, cooperative and collaborative forms of housing available and is '*wide enough to encompass all international variations*' (Fromm, 2012,

p. 364). This usage can be traced back to Dorit Fromm's (1991) book, *Collaborative Communities: cohousing, central living and other new forms of housing with shared facilities*. She focuses on the paradoxical hierarchical housing design underlying the structure of historical private and rental tenures. She also proposes her idea of 'collaborative communities' to describe innovations in residential environments, which involve the participation of housing consumers. She analyses three types of housing and communities in Europe and America: cohousing, central living and housing with shared facilities (p. 17). Thus, the term 'collaborative housing' is drawn from her book. Franck and Ahrentzen (1989) define 'collective housing' as '*housing that features spaces and facilities for joint use by all residents who maintain their own individual household*' (Vestbro, 2000, p. 166). Vestbro (2000) evaluates these two definitions, collaborative housing (communities) and collective housing, and states that the latter excludes communes, in which individual households live in separate apartments, but includes condominiums and cooperatives (p. 166). In 2012, Vestbro and his colleague stated that collaborative housing is '*housing oriented towards collaboration by residents*' (Vestbro and Horelli, 2012, p. 315), which was a similar definition to that for cohousing discussed by Vestbro in 2010 (Vestbro, 2010, p. 29; Tummers, 2016, p. 2035; Lang et al., 2018) (Figure 1-2). This is because this term, 'collaborative housing', was shaped globally by academics with different national domestic languages, which translate differently into English (Lang et al., 2018; Bresson and Denefle, 2015; Vestbro and Horelli, 2012).

Regardless of the researchers' varying contexts, including their different nationalities and disciplines, the challenges associated with definitions is also related to the four different levels at which collaborative housing itself is engaged: as ideas, within histories, within

practices and within policies. Following Fromm's idea of 'collaborative housing (communities)' (1991) as discussed above, the modern cohousing model and empirical communities focus on urban development in European countries and include basic characteristics such as individual homeownership, common space and shared facilities (Tummers, 2016). Id22 (a Berlin-based non-profit consultancy, which has promoted a very broad concept of cohousing across Europe for over a decade with a focus on creative sustainability) is working on cohousing projects in pursuit of sustainable urban development in Berlin, Germany (https://id22.net/en/, Accessed: 19 August 2019). It has two multi-languages publications, 'Cohousing Inclusive' and 'Stadtlabor Berlin', and aims to popularise the term 'cohousing' worldwide (https://michael-lafond.net/bildungsangebote/#publications, Accessed: 5 June 2019). However, in the English context, 'community-led housing' is a more equivalent generic term (Mullins and Moore, 2018; Lang and Mullins, 2015).

Figure 1-2: Definition of different types of cohousing

Cohousing	Housing with common space and shared facilities
Collaborative housing	Housing oriented towards collaboration by residents
Collective housing	Emphasising the collective organisation of services in housing
Communal housing	Housing for togetherness and sense of community
Commune	Living without individual apartments
Cooperative housing	Cooperative ownership without common spaces or shared facilities, therefore not co-housing

(Source: Vestbro, 2010, p. 29; Tummers, 2016, p. 2035.)

Globalisation accelerates institution/policy transfer in the field, such as CLTs from the US, UK and European countries, and cohousing from Denmark, to an international context to expand practical initiatives. The CLT idea was transferred from the US in the 1990s, then used in the Scottish Highlands, and later legislated by the Westminster

Government in 2008 (Moore and McKee, 2012; Thompson, 2015; Davis, 2010a, 2017; Gray, 2008).

An early international cohousing conference was organised by the cohousing association in Sweden in 2010 to transfer the shared and cooperative housing culture by using common spaces and facilities. Different types of collaborative ideologies and associated cultural features flourish across housing and related systems and structures globally, such as communities for specific groups (such as the elderly, women and students) and shelters (such as social care and immigration) (Lang et al., 2018; Bresson and Denefle, 2015). Different national and local circumstances affect its various features; its local definitions tend to reflect legal categories, the mainstream housing system and, to some extent, build on existing models (Mullins and Moore 2018; Moore and McKee, 2012; Bresson and Denefle, 2015).

Collaborative forms of housing have been an increasingly popular field of study for academics studying housing, architecture, the built environment and social sciences. The Collaborative Housing Working Group is part of the European Network for Housing Research, and reflects a growing interest and follows on from earlier workshops within other working groups (https://www.enhr.net/collaborative.php, Accessed: 15 August 2018). This form of housing has also been increasingly embraced by practitioners and activists, such as shown on the European Collaborative Housing Day in June 2019, organised as part of the International Social Housing Festival, whose theme was ‘reinventing affordable housing from the bottom-up’ (https://www.ishf2019.com/events/collaborative-housing-day/,

Accessed: 7 August 2019). Research in the field involves multiple disciplines such as sociology, demography, planning, architecture and economics, which tends to generate a variety of conceptualisations and definitions (Tummers, 2015a; Nasarre-Aznar; 2018). For example, Nasarre-Aznar (2018) understand this collaborative relationship between housing use and production from an economic and transactional perspective. These investigations are useful for considering how to best use resources and save costs and are underpinned by different types of collaborative forms of affordable housing provision. In China, there were studies in applying the cohousing idea to explore Chinese elderly residential communities, such as a master's thesis written by Xiong in 2016. According to my empirical study on 15 December 2017, the idea of cohousing was studied mainly from the architectural perspective at Tongji University, Shanghai, China.

There is a growing number of international collaborative housing-related organisations and associated projects, such as Urbamonde, the Co-habitat Network and ID22. The UK National Community Land Trust Network recently collaborated with Belgian and French CLTs on the 'Sustainable Housing for Inclusive and Cohesive Cities' (SHICC) project. This project was funded by Interreg North-West Europe, a European Union Territorial Co-operation Project, who invested €2.9m from 2017 to 2020 (http://www.nweurope.eu/projects/project-search/shicc-sustainable-housing-for-inclusive-and-cohesive-cities/, Accessed: 7 August 2019).

This thesis looks at why and how practitioners within different cultures and across societies globally re-engage with the idea of collaborative housing to provide affordable housing for people in need (Lang and Mullins, 2019; Mullins and Moore, 2018; Fligstein

and McAdam, 2011 and 2012; Martin, 2003; Olson, 2009; Ostrom, 1990; 2015). It looks at four cases in different settings in England and China.

Two analytical frameworks are provided to explain the rise of diverse collaborative forms of housing in modern societies. The first framework has five pillars (Actors, Partnerships, Ideas, Land and Finance) and is based on an understanding of the essential elements required to deliver effective practical projects. The second supply-demand sense-making framework explains its re-emergence and development since the 2000s in terms of the external influences of supply and demand that exist in the two countries, as well as in wider international contexts. These two perspectives drive the thesis towards a theoretical elaboration of collaborative housing in different cultural and policy contexts as a practice.

This thesis contributes to new knowledge of how citizens collaborate to provide affordable housing to meet housing and broader social needs. In doing so, they provide alternative solutions to the traditionally strong role of the state and market and the privatisation of public resources (Ostrom, 1990; 2015; Foster, 2011), and financialisation of housing (Byrne and Norris, 2019; Smyth, 2019; Murie, 2017; Aalbers, 2016 and 2017; Aalbers et al., 2017; Theurillat et al., 2016). Institutional arrangements underpinning access to resources (especially land and finance) and collaboration for housing provision are explored to develop alternative housing choices and bring diverse housing products and communities together to address various housing challenges, such as new aspirations for living, lifestyles and affordability in modern societies. More importantly, this thesis

provides a crucial insight into modern collaborative forms of housing governance and its institutionalisation.

1.2 Preliminarily definition of collaborative housing

1.2.1 Introduction

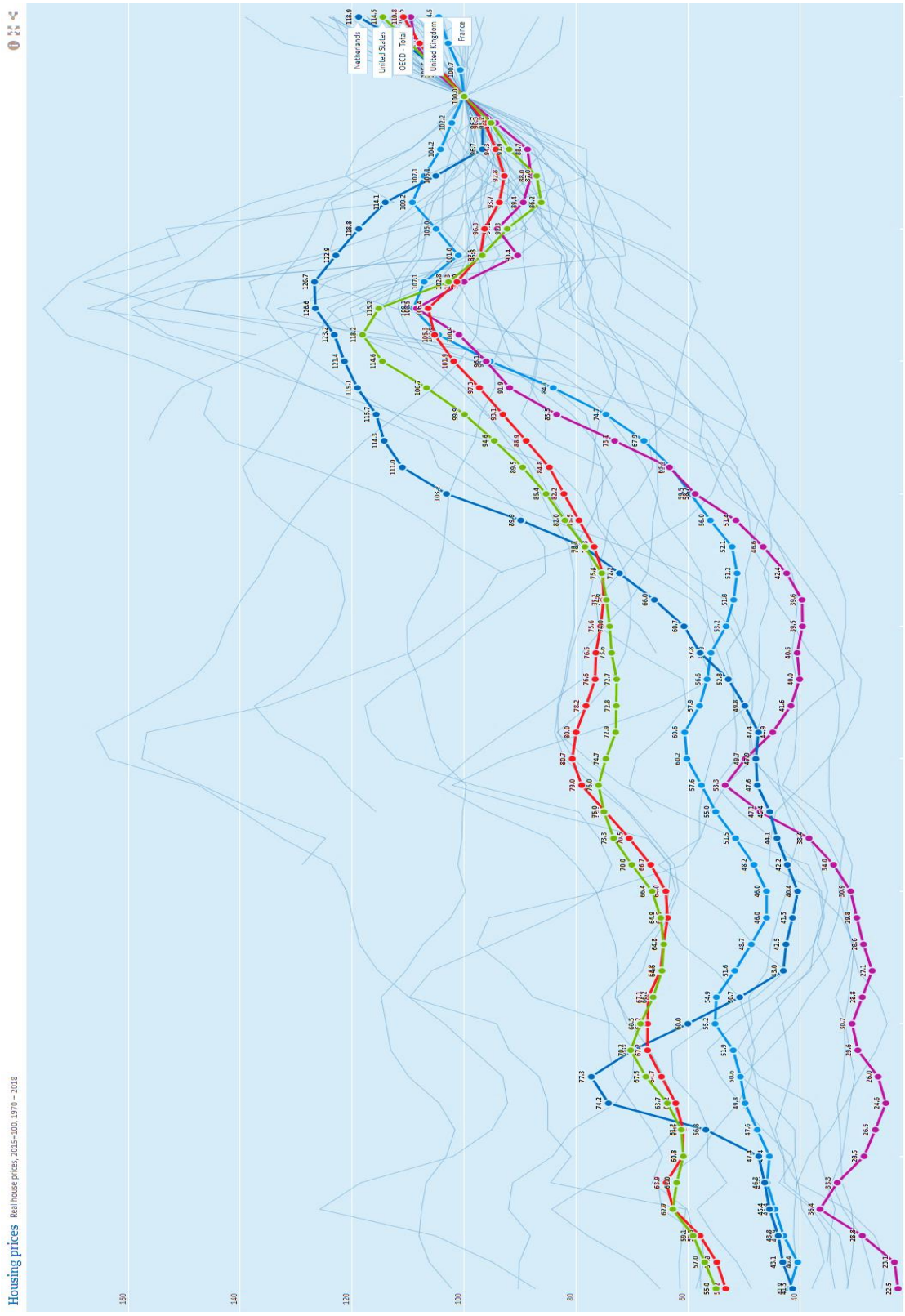
Research into collective, cooperative and collaborative ideas, as alternative solutions to social-economic issues, has a long history (Howard, 1965; Olson, 2009; Ostrom, 1990; 2005; Davis, 2010a; Foster, 2011; Brandenburger and Nalebuff, 2011; Liang, 2014; Gijselinckx et al., 2014; Bresson and Denefle, 2015; Balestrini et al., 2017). The term, 'global commons' is used to analyse modern social and economic practices and is characterised by '*democratic, participatory and collaborative forms of human relations*' that interact with neoliberal forms of economic governance (Cumbers, 2015, p. 62).

Neoliberalism, as an ideology, has diverse interpretations (Springer et al., 2016; Byrne, and Norris, 2019; Cumbers, 2015; Harvey, 2007). In this thesis, I look at its relationship to capitalism (particularly financialisation and marketisation) to understand the political and socio-economic background underpinning the housing and societies (Byrne, and Norris, 2019; Di Feliciantonio, and Aalbers, 2018; Cumbers, 2015; Harvey, 2007). OECD statistics (https://data.oecd.org/price/housing-prices.htm, Accessed: 11 October 2019) shows a generally steady rise in real house prices in the Global West, such as the United Kingdom, United States and France from 1970 to 2018, accompanying the rise of neoliberal marketisation (Figure 1-3). China has also undergone financialisation of its housing system since the 1970s (Wang and Horner, 2012; Wu, 2010). Since 2013, we

have seen an upward trend of housing costs around the world, including in China, the United Kingdom, the United States and the Netherlands (Figure 1-3). Thus, I use the 1970s as the beginning of the neoliberal economic period in the context of housing governance. In line with Byrne and Norris (2019), I argue that neoliberal financialisation refers to the financial actors, activities, tools and products that have been at the core of financial capitalism since the 1970s. Neoliberal marketisation concerns market-oriented solutions to housing governance that have emerged since the 1970s that have emphasised competition. Both financialisation and marketisation have affected the implementation of collaborative forms of housing provision. Reference to neoliberalism helps us to understand diverse developments in the context of modern housing systems, which is important for my explanatory framework of collaborative housing with five-pillar and supply-demand analytical perspectives.

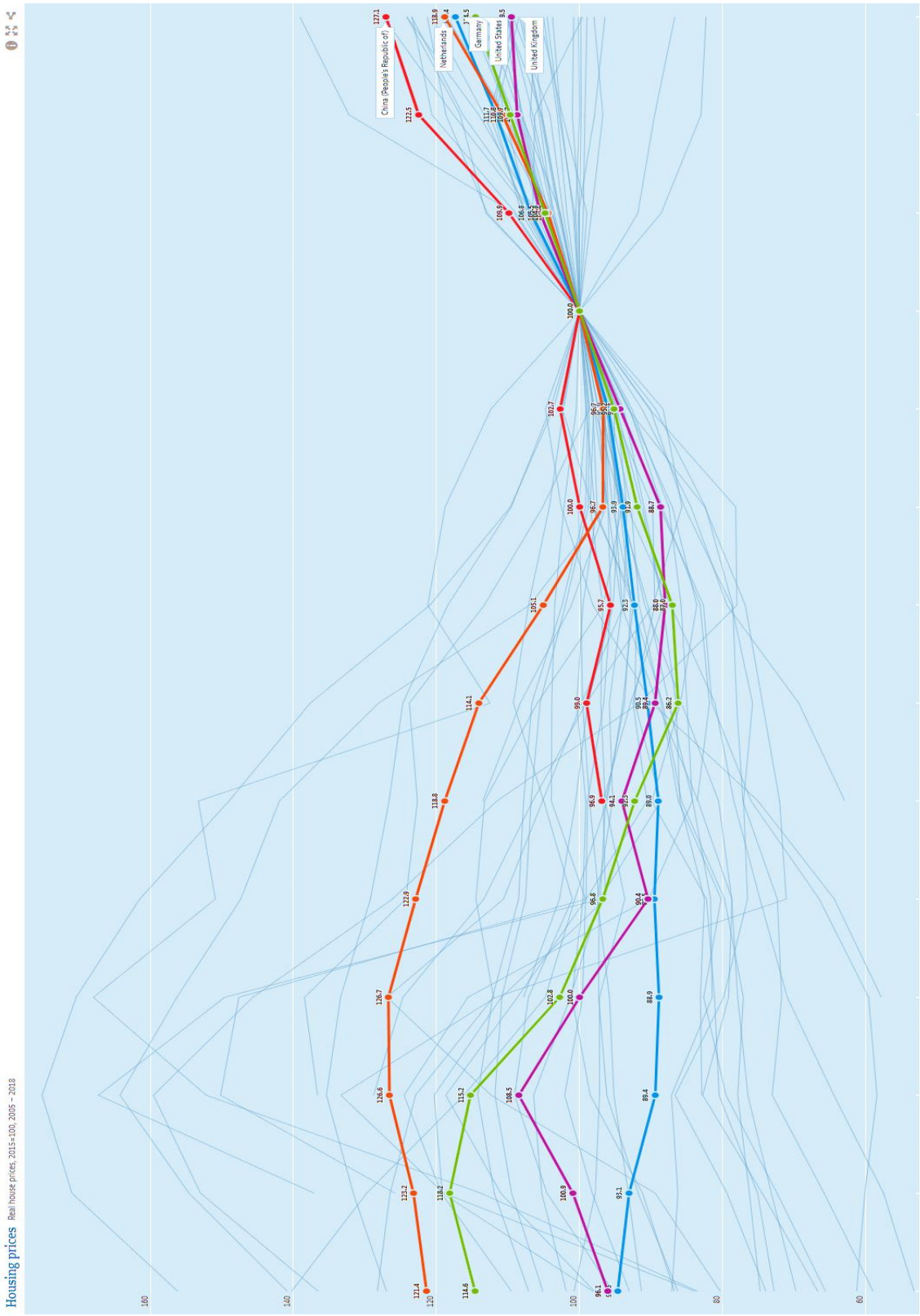
In the literature on alternative collective, cooperative and collaborative solutions, three main advantages are argued. One is to improve and modify human/organisational behaviours (Lewin, 1944; Olson, 1971; Brandenburger and Nalebuff, 2011; Balestrini et al., 2017). A second is to deal with common problems among individuals, groups, organisations and sectors, especially in the face of uncertainty (Trist, 1977; Ostrom, 1990; Davis, 2010a; Foster, 2011). The third refers to the combination of these two benefits (Ostrom, 1990; 2015; Olson, 2009; Foster, 2011). I am also interested in the collaborative possibility of citizens being able to meet their housing and residential aspirations and ideas in modern societies by fostering human/organisational forms of collaborative behaviours to achieve their common housing goals.

Figure 1-3: Real housing prices between 1970 and 2018



(Source: OECD (2019), Housing prices (indicator). doi: 10.1787/63008438-en (Accessed: 11 October 2019))

Figure 1-3: Real housing prices between 2005 and 2018



(Source: OECD (2019), Housing prices (indicator). doi: 10.1787/63008438-en (Accessed: 11 October 2019))

The complex and evolving collaborative forms that exist across geographic contexts imply varying research directions (Mullins and Moore, 2018; Lang et al., 2018; Tummers, 2015a; Davis, 2015; Foster, 2011). Existing terms used in the Global North, such as 'collaborative housing', 'cohousing' and 'self-help housing', may be different from the situations in other parts of the world, such as the Asia Pacific region. For example, I used 'cohousing' and 'South Korea' as two keywords to find relevant academic work via the online Library of the University of Birmingham (https://intranet.birmingham.ac.uk/as/libraryservices/library/index.aspx), but this failed to provide any information. With the same terms, Google Scholar (https://scholar.google.com/) unearthed a master's thesis (Han, 2015) of Sungkyunkwan University that is internationally ranked 95th, according to the report of Quacquarelli Symonds' (QS) world university rankings 2020 (https://www.topuniversities.com/university-rankings/world-university-rankings/2020, Accessed: 17 September 2019). The author analysed the first cohousing project, Bin-Zib, in South Korea using the case study method, and defined cohousing as:

> '*an empty guest house in Korean, [and] the name of the community indicates the community's desire to form a community based on the principles of hospitality and openness.*'
>
> (Han, 2015, p. x (the page in the preliminaries of the dissertation)).

This concept is different from the mainstream Western concept, which emphasises '*housing with common space and shared facilities*' (Vestbro, 2010, p. 29; Tummers, 2016, p. 2035). The overall profile of (European) urban cohousing initiatives, and the more visible part of the recent cohousing trend, corresponds with a group of

predominantly middle-income households (with few exceptions such as L'Espoir, Brussels) embedding itself in clustered housing in inner-city locations (Tummers, 2016, p. 2034). Empirical investigations are required to understand the specific social meanings and locate the compatible domestic accounts in different parts of the world based on the features of collaborative housing in the Global North in different languages.

Definitions developed by European scholars also differ. For example, Twardoch (2017, p. 4), in a study of the Polish context, defines

> '*collaborative housing [as] a form of acquiring homes, where the basic principles include: (1) the non-for-profit idea, (2) group initiation by future occupants, as well as a (3) participative and (4) cooperative nature of the undertaking*'.

On the other hand, Lang and Roessl (2011) investigate a top-down housing cooperative, Gurtis Vissage Shop, in Western Austria, in which most of the residents invested their resources and became members in order to restructure the village. Collaborative housing and cross-national/cultural studies are undertaken in a similarly succinct and authoritative way. So, I employ the general term 'collaboration' (and the term 'collaborative') to encompass actions, principles and regulations directed at shared aims.

1.2.2 Historical collaborative housing

The International Cooperative Alliance (ICA), established in 1895, is a good illustration of the application of collaborative housing ideas (https://www.ica.coop/en, Accessed: 10 September 2019). Its seven cooperative principles, such as 'voluntary and open

membership' and 'democratic member control', which are built on the Rochdale Pioneers' Principles of Co-operation, are the earliest examples of a consumer-led cooperative movement and were introduced in 1844 in the UK (Fairbairn, 1994). The ICA principles continue to be used as the main propositions in cooperative, mutual and self-help housing in modern societies globally (http://www.ica.coop/en/cooperatives/cooperative-identity?_ga=2.69663768.967889450.1572268645-514482326.1572268645, Accessed: 10 September 2019). ICA's Cooperative Housing International is collaborating with the CoHabitate Network (https://psh.urbamonde.org/#/en/communities), an international digital platform directed at promoting community-led housing, to extend its geographic reach around the world (https://www.housinginternational.coop/housing-cooperatives-worldwide/, Accessed: 10 September 2019). Howard's garden city movement, initiated in 1898 in the UK, is another influential idea that has spread across the world and has been built on by more recent collaborative housing models, such as CLTs and housing cooperatives (Davis, 2015; Lang and Mullins, 2015; Buder, 1990). The urban planning theory behind the Garden city has had a significant influence and reflects the role of globalisation on information, culture and knowledge transfer. Yuan et al., (2014) use quantitative methods to measure land-use structures in Zhujiajia Town in Shanghai, and show the similarities with Howard's Garden city model, such as the use of residential, transportation and open green space. According to a report by *The Guardian,* a UK news agency, in 2014, many cities in China, such as Chengdu and Hunan, are applying the idea of the Garden city to undertake urbanisation reforms (https://www.theguardian.com/housing-network/2014/dec/02/garden-cities-china-chengdu-letchworth, Accessed: 2 February 2019). This article argues that the differences lie in the fact that, in China, the garden city movement is underpinned by state-owned

land ownership, and in the UK, it is underpinned by third-sector based land governance (ibid.). The institutionalisation of housing cooperatives appeared across the world in the 1970s. For example, Canada issued legalisation to provide start-up funding to facilitate the development of housing cooperatives using mortgage plans during the period (Wekerle et al., 1988; Van Dyk, 1995). The UK's Labour Government supported the cooperative housing agency between 1976-1979. This was the first wave of state-supported community-led housing (Lang and Mullins, 2019).

In China's planned economy prior to the 1979 socialist-market economic reforms, urban welfare housing was allocated in terms of economic 'work units'. In this context, the cooperative model included the state, economic units and employees. They were commonly referred to as 'employees' housing issues'. The government transferred the state-owned land to economic units; employees commonly addressed construction costs (Wang and Murie, 2000). The individual was labelled as 'unit person' ('单位人') rather than 'social person' (Wang and Murie, 2011; Wu, 2005; Miao, Song, Cheng and Song, 1997). Much earlier, before the founding of 'new' China, there was a housing cooperative in Fuzhou, a coastal city, in 1943 (Miao, Song, Cheng and Song, 1997). In terms of the rural collective land system and villagers' residential land rights, housing seems not to have been considered an issue for local villagers from the perspective of mainstream housing analysis, especially supply and demand (Wang and Wang, 2014; Ma and Fan, 1994). Village democratic governance seemed to empower Chinese villagers to address their housing demands and issues by themselves quite easily. These traditional ideas, however, overlook rural housing dynamics, particularly in terms of villagers' housing

demands and aspirations, and village socio-economic and demographic changes in different regions (Wang and Wang, 2014; Ma, 2012; Ma and Fan, 1994). Wang and Wang (2014) find that the rural urbanisation was initially organised by villagers based on rural institutions and rules, and then conducted by the government to achieve domestic and global urban development.

1.2.3 Modern collaborative housing

This thesis began with a focus on the land governance idea of 'common/public ground', which underpins practical collaborative housing projects directed at addressing housing affordability in England and China. This idea of 'common ground' is related to the classic CLT model, which is '*founded on common ground, combining community ownership of land and individual ownership of buildings, while employing long-term ground leases to balance the interests of both parties*' (Davis, 2017, p. 5). Its application in the context of housing over time is an interesting thing to focus on. In the abstract of his 2015 paper[1], the American expert, John Davis, as much an activist /practitioner as an academic in the field of CLT, asserted that '*there were difficulties involved in doing affordable housing and neighbourhood revitalisation*'. Later, Davis (2017) stated that common ground is the virtuous solution for land ownership and has many advantages for providing affordable housing, in terms of operation, ethic, economy and politics. For example, drawing upon Ostrom's work on collective action (1990; 2015), Foster (2011) discussed the potential of user involvement for addressing congestion or degradation issues of urban shared

[1] This paper was not available to the public online. However, as described in his other papers (2007 and 2010), he still admits that the difficulty lies in using CLTs to develop affordable housing and neighbourhood revitalisation due to resources for development, such as land and finance.

spaces, such as land, housing, parks and streets in the context of government regulation. Urban CLT initiatives are named 'urban commons', which seems to originate from her definition: '*Urban residents share access to a number of local tangible and intangible resources in which they have a common stake*' (Foster, 2011, p. 1; Angotti, 2011; Bunce, 2016; Aernouts and Ryckewaert, 2018).

Here, I briefly explain three types of 'commons' that are used in the field of collaborative housing: (1) open-access vs. closed-access commons; (2) common vs. public ownership; and (3) common vs. public property rights. Foster's (2011) definition of commons borrows from Hardin's understanding of open-access natural resources, which is different from Ostrom's closed-access natural resources, in which '*a well-defined group own property in common*' (Furubotn and Richter, 2010, p. 98). From the perspective of sanctioned property rights, in the context of Foster's ownership, no one has the right to exclude others from using urban resources and spaces (Furubotn, and Richter, 2010). Ostorm's (1990) definition and theory of common-pool resources (CPR) highlight a relatively clear delimitation of specific users (Samuelson, 1954). According to public good theory (Samuelson, 1954), Foster's (2011) description of urban resources can be categorised as 'public goods' with non-excludable and non-rivalrous features in modern societies (Samuelson, 1954; Stevens, 1993; Gidwani and Baviskar, 2011).

Here, I focus on the English context of the CLT model:

> '*A Community Land Trust (CLT) is a local community-controlled organisation set up to own and manage land and other assets in perpetuity for the benefit of the*

community. The assets other than land may be, for example, affordable housing, workspaces, agricultural facilities, commercial outlets, or community facilities.' (House of Commons, England, 2017, p. 4)

Land, housing and citizens are the three elements underpinning different types of commons in English CLT practices.

Land commons:

- There is no legally defined property ownership term of lands underpinned by the CLT projects. Common/community/public ownership, generally, can be used based on its four types of appropriated legal organisational formats, Community Benefit Society, Community Interest Company Ltd. By Guarantee, Company Ltd. by Guarantee and Company Ltd. by Guarantee (http://www.communitylandtrusts.org.uk/_filecache/3d8/4e6/196-introduction-to-legal-formats--for-website.pdf, Accessed: 18 June 2018).

Human commons; building on land commons:

- Relative closed-access commons: These CLT lands are managed by a board of directors with mixed stakeholders representing the broader public interest (such as local authorities), experts such as housing associations (HAs) and professionals, CLT housing users and the wider residents in the areas). In the classic model, they tend to follow tripartite governance and stewardship principles (Davis, 2010a; 2010b; Lang and Mullins, 2015).
- Open-access land commons: The CLT lands are owned by members who want to join groups and pay a membership fee. In practice, there seem to be no regulations

governing members' nationality and gender. Generally, CLT members have one vote each.

Housing commons; building on land and human commons:

- Shared housing development rights: Some local CLT groups partner with HAs to deliver housing projects. One of the main reasons is to acquire government affordable housing funding which is channelled through 'registered providers' (another name for housing associations) (Moore, 2018).
- Diverse types of homeownership: These local CLTs have shares of the legal entities that own common ground, rather than owning the full housing development rights that are partially owned by HAs, who provide access to government funding and are subject to social housing regulation. However, it is often possible to include the lock-in mechanism of the property to secure long-term affordability by controlling resale prices (Moore, 2018). Mutual homeownership is used in Granby 4 Streets CLT, which leases some housing units to a local Northern Alliance Housing Cooperative and its development partner (Thompson, 2015).

Common/community/public land, as a property right, is different from the technical term 'common ground' seen in the CLT model (Moore, 2018; Aernouts and Ryckewaert, 2018; Thompson, 2015; Davis, 2010a; Towey, 2008; Shaw-Taylor, 2008). Moreover, the government-supported Chicago CLT project in America uses deed restrictions to limit the resale price and keep housing affordable, rather than own the land underpinned by the CLT community (Towey, 2008). Davis (2012) highlighted that access to land for the CLT projects was difficult, which was evident in many English practices (Hill, 2014;

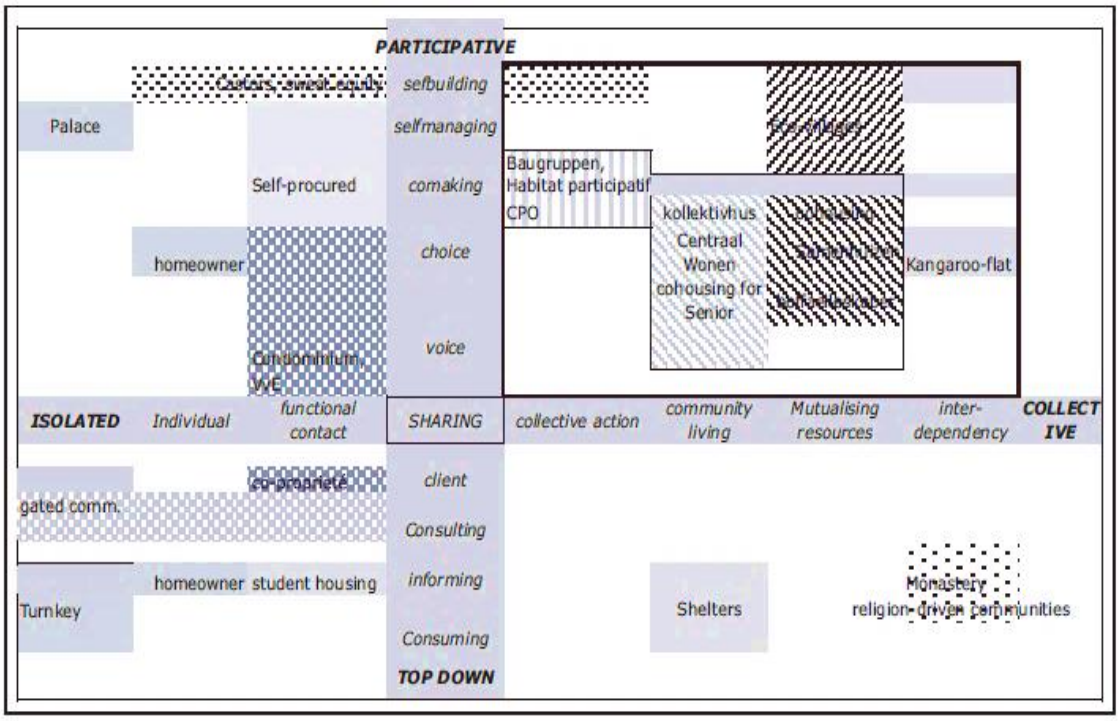
Thompson, 2015; Moore and McKee, 2012; Bunce, 2016; Moore, 2018).

So, from the perspective of citizen actions, Peter Linebaugh (2008), an American Marxist historian, defines modern common social practice: (1) being-in-commons and (2) communing practices governing the use and management of shared resources. This definition implies that there are two types of actors (including subjective willingness and rights) and tangible and intangible entities that exist indivisibly and simultaneously. Linebaugh's (2008) concept is also used to analyse collaborative housing practices (Tummers, 2019; Fitzpatrick, 2018). For example, Fitzpatrick (2018) combines Ostrom's and Linebaugh's theories of the commons to explore the governance features of a diverse range of collaborative housing projects in London by analysing three themes: community, knowledge and mutualism. Tummers (2016, p. 2034) investigates the collaborative scope in which citizens engage in cohousing projects and defines it in terms of '*the amount of shared space (planning substance) and the degree of self-reliance (planning process)*' (Figure 1-4). This can be regarded as housing and community commons in collaborative forms of housing projects.

In the Chinese state-owned land system (including with collective land), citizens have shares of land resources. Community land in urban areas is managed by local authorities, housing users and developers, and in rural areas by local authorities, village housing users and village committees. Therefore, the shared land rights allow for collaborators to have a diverse range of shared ownership types that include both tangible and intangible resources from housing planning, provision, production (construction), consumption,

management and governance. Understanding the role of land in collaborative housing, as well as land innovation, is important, since a national land ownership system legally regulates the land tenure owned by an organisation and a person. Reflecting on the analysis above, I define the 'commons' of modern collaborative activities, practices and events as the shared (common/community/public) rights governing what collaborators share in an international context. This definition is similar to Foster's (2011) definition of 'urban commons'.

Figure 1-4: Collaborative scope of cohousing from a planning perspective



(Source: Tummers, 2016, p. 2034)

1.2.4 Preliminary definition

I firstly define collaborative housing as a progressive idea within histories, policies and practices associated with planning, provision, production (construction), consumption,

management and governance. Citizens can engage in, and particularly have the power to affect collaborative decision-making (on tangible and intangible resources) in each of these contexts and stages in civil societies, contrary to the existing state-and-market governed housing. This approach helps to show the links between the apparently different models in different socio-economic and cultural settings, and then distils '*theoretical variables that underlie observed complexities*' towards the conceptualisation of collaborative housing in the thesis (Ostrom, 2015, p. 24). Research into diverse combinations of variables is useful to find out the 'theoretical regularities' that effectively produce collaborative housing projects, products and associated outcomes (ibid.). These individual variables are advantageous when seeking to understand how to better design housing services that involve citizens (including housing users), and to discover supportive collaborative principles, institutions and systems that can be used to address similar housing-related needs and achieve shared goals.

1.3 Initial observations of collaborative housing in England and China

1.3.1 Similarities in preferences, actions and policies

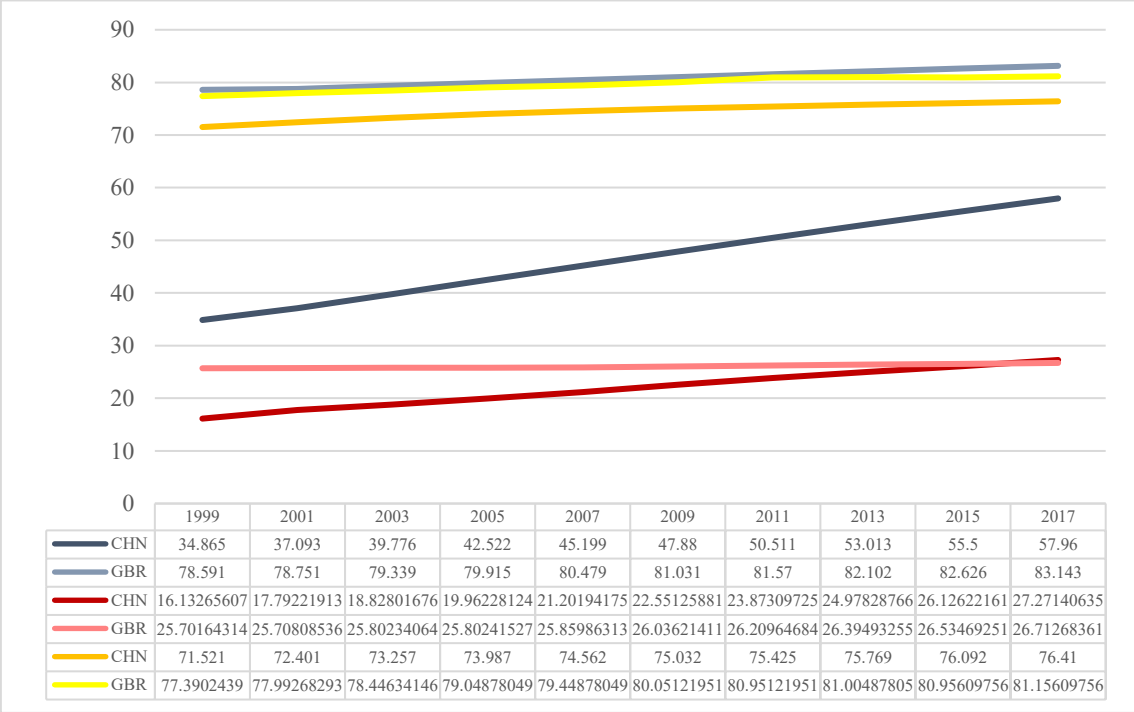
In the collaborative housing field, Archer (2016) conducts a comparative investigation of collective housing in England and Canada and highlights the importance of culture, including individual homeownership, cultural preferences, organisational cultural norms, national cultural factors and international cooperative cultural movements. His four-level influences of culture and the critical realism perspective adopted in his thesis may also be considered significant when analysing the re-emergence of collaborative housing since

the 2000s in England and China. Section 1.2.2 mentioned international knowledge transfer surrounding collaborative housing, although three specific levels of cultural influence exist between the two countries, as we will see below.

Modern individual housing preferences: Drawing on databases from the World Bank (https://databank.worldbank.org/home, Accessed: 2 July 2019), Figure 1-5 shows that in England and China there were similar trends in urban population increases (as a % of the total population) and populations living in urban agglomerations of more than 1 million (as a % of the total population), but that there have been different rates of increase over the last two decades. The BBC (2018) has reported an increasing number of urban residents in the UK since the 2000s (https://www.bbc.co.uk/news/uk-44482291, Accessed: 2 July 2019).

Collaborative housing organisations: Most CLTs in England have been developed since the 2000s, according to the master list of community-led housing organisations in England I compiled for my master's dissertation (that was based on the secondary data collected from national, local and umbrella organisations) (He, 2015). The numbers of urban CLTs has recently grown, building on a large number of rural CLTs. These have been partly facilitated by seed funding from the National CLT Network, evaluated in 2018 (Moore et al., 2018). At the same time, there have also been increasing numbers of urban grassroots cooperative housing projects in urban China since 2003 (Wang, 2014; Wu, 2007), which seems to have built on the rural, bottom-up, village-led housing reforms that emerged since the 1990s (Wang and Wang, 2014).

Figure 1-5: English and Chinese urban population increases and populations living in urban agglomerations of more than 1 million



	1999	2001	2003	2005	2007	2009	2011	2013	2015	2017
CHN	34.865	37.093	39.776	42.522	45.199	47.88	50.511	53.013	55.5	57.96
GBR	78.591	78.751	79.339	79.915	80.479	81.031	81.57	82.102	82.626	83.143
CHN	16.13265607	17.79221913	18.82801676	19.96228124	21.20194175	22.55125881	23.87309725	24.97828766	26.12622161	27.27140635
GBR	25.70164314	25.70808536	25.80234064	25.80241527	25.85986313	26.03621411	26.20964684	26.39493255	26.53469251	26.71268361
CHN	71.521	72.401	73.257	73.987	74.562	75.032	75.425	75.769	76.092	76.41
GBR	77.3902439	77.99268293	78.44634146	79.04878049	79.44878049	80.05121951	80.95121951	81.00487805	80.95609756	81.15609756

(The two blue lines refer to 'urban population (% of total population)'; the two red lines refer to 'populations in urban agglomerations of more than 1 million (% of total population)'; the two yellow lines refer to 'life expectancy at birth, total (years); CHN refers to China; GBR refers to the UK'; Source: The World Bank, Available: https://databank.worldbank.org/home Accessed: 2 July 2019.)

National land and housing policies: There have also been some similar contextual developments in the governance of land, housing and communities, although England and China have different national land systems (Figure 1-6). After the post-war period, both governments played essential roles in organising housing and urban developments using centralised planning systems and policies governing national land (Mullins and Murie, 2006). Since the 1970s, the two countries have conducted state-owned social housing reforms through a national 'Right to Buy' policy, which emerged in China in

1978 and in England in 1979 (Wang and Horner, 2012; Wang and Murie, 1998). In England, this policy was operating locally on a discretionary basis well before 1979/80 when Prime Minister Thatcher made it a mandatory national policy (Forrest and Murie, 1988; 2014). I also questioned whether this context happened in China concerning many precedents in the national policy-making process in the thesis (see the local (Tianjin) and national development policies for small towns in Section 4.3). This 'Right to Buy' policy was designed as a market solution to replace public rented housing with individual home ownership in English council housing and urban environments in China. Although the targeted housing users were not the same in the two countries, few urban Chinese citizens invested in state-owned social housing given the poor national economy, which led to the involvement of the private sector in affordable housing provision since the 1990s (Wang and Horner, 2012). Wang and Horner (2012) argue that the purpose of this housing privatisation policy was to address inefficiencies and low productivity prior to the 1990s.

Figure 1-6: Standardised rules of land governance (including ownership types) in England and China

<table>
<tr><td>Contexts</td><td colspan="3">Standardised rules of land governance (including ownership types)</td></tr>
<tr><td>Land system</td><td colspan="3">England: Private ownership; China: Public (state) ownership</td></tr>
<tr><td rowspan="3">Important land approaches and terms of affordable housing</td><td>State-solution</td><td>Market-solution</td><td>Civil-society-solution</td></tr>
<tr><td rowspan="2">Central planning for housing and urban development</td><td>Private ownership</td><td>Common/community/ public ownership</td></tr>
<tr><td>Private right to use</td><td>State-owned land</td></tr>
<tr><td>Time</td><td>1940s</td><td>1970s</td><td>2008 (2010s)</td></tr>
<tr><td>1970s to 2000s</td><td colspan="2">England</td><td>China</td></tr>
</table>

Transferring public assets into the private sector and reducing the supply of affordable housing	**Right to Buy** developed as a national policy in 1979 (following earlier local policies over 20 years) *Financial tools* • Discount for tenants in social housing • Tax relief *Involvement of the private sector since the 1990s* • Private capital investment in former social housing • Over time assets return to rental but at market rents and with higher levels of public subsidy through housing benefit	**Right to Buy** developed as a national policy in 1978 (after the state establishment in 1949) *Land and finance tools* • Housing fund (Shanghai) • Land lease contract for private developers (Shenzhen) *Involvement of the private sector since the 1990s* • State capital investment in social housing • Private sector subsidised social housing with land tax relief

(Source: The author)

Existing literature highlights the role of the welfare state. It shows how it has been undermined by the 'Right to Buy' policy and processes of financialisation and argues that new forms of social organisations are needed in both England and China to resist these pressures (Murie, 2016; 2017; Wang, 2014; Wang and Horner, 2012; Wu, 2010; Wu, 2007; Wang and Murie, 1998). The creation of a legislative form for CLT in England in 2008 institutionalised common/community/ ownership for housing. North (2012) argues that the state is responsible for economic growth and developing property rights, including the different types of shared rights governing land and housing that are focused on in this thesis. There are also similar ideas underpinning collaborative housing development in both countries, as argued below.

1.3.2 Discovery of five pillars

My postgraduate research journey originated from my interest in a policy innovation in China, namely a policy-orientated housing plan launched by the Beijing Municipal People's Congress Legal Committee in 2014; 'Cooperative Security Housing' ('合作型保障房') (The People's Government of Beijing Municipality, 2014;2015; The official website of the Beijing Shijingshan Government, 2015). Beijing proposed it in the Beijing Municipality Basic Housing Security Regulations (Revised Draft) in September 2014. This policy involved an experimental collaboration among the state, the market and citizens towards affordable housing provision in the urban area in Beijing. In this housing model, the Beijing government provided construction land, qualified families paid for housing construction costs, and professional construction companies built the houses. The Beijing Housing Construction Investment Centre (BHCIC), China's largest state-owned affordable housing construction investment enterprise, was to assume the responsibility for the use, supervision and management (The Beijing News, 2015). The government had the right to purchase the apartments when the residents wanted to move out. CSH was designed to be less than 60 square meters in size and their total cost was around three hundred thousand Yuan (The People's Government of Beijing Municipality, 2015). Housing developers could make only 3% profit (ibid.). I was interested in the formulation of the idea, its implementation, as well as its outcomes. Although Beijing CSH was not implemented in practice, four sites were used for the Economic Comfortable Housing ('经济适用房'), one policy-oriented housing model, in line with the results of an investigation of residents' intentions by the city authorities. This Economic Comfortable Housing model was a commercial property with the nature of social security to be

available to urban middle-to low-income households to encourage homeownership (Shi et al., 2106; http://zhengwu.beijing.gov.cn/zwzt/bjsbzxzf/t1094083.htm, Accessed: 18 March 2017). This study found that

> '*residents were willing to pay more money to have Economic Comfortable Housing units. There were many reasons. They could have housing tenure after the first five-year selling restriction on the market (in the Economic Comfortable Housing model, in which because they have housing tenure), they could change their residence permits (Hukou) to locals and enjoy local welfare… so their children could go to the local schools.*'
>
> (Interview code SC9, policymaker of Beijing CSH, on 16 March 2017).

This argument highlighted the importance of citizens' supports, especially housing users, which moved the BCSH projects away from a cooperative model.

My emerging ideas were further shaped by exposure to the lively Community Land Trust (CLT) movement in England in 2016. In January 2016, I attended the National CLT Network Conference in London, and was interested in the argument from an urban collaborative housing practitioner: '*We have people; we have projects; however, we do not have land and money; we need some people to invest in our projects*'. It highlighted the importance of land in affordable housing provision, and that it is sometimes neglected, particularly concerning land use, management and governance, as argued by Davis (2015) and Hill (2014). More importantly, it showed the importance of the five elements, Actors, Partnerships, Ideas, Land and Finance, which I later went on to hypothesise in this thesis as the five pillars (five important elements) underpinning collaborative housing (Figure

1-7). The sub-themes under each pillar were investigated to understand the nature of particular projects in societies.

Figure 1-7: Definitions of five pillars of collaborative housing

Definitions of Five Pillars of Collaborative Housing
Actors pillar: local participants **Partnerships pillar**: partners and associated resources. • To explore backgrounds, motivations, participatory approaches and actions, respective roles and associated meanings.
Ideas pillar: purposeful collaborative housing projects and associated enacting strategies, • To explore actors' intentionality through and behind collaborative housing projects and real consequences, as well as implementation strategies.
Land pillar: land resources **Finance pillar:** financial resources • To explore land and financial sources with *how* and *why* questions, and associated underpinned meanings.

(Source: The author)

Starting from these two influential events, my thinking about how to research collaborative housing developed through several phases, as summarised in Figure 1-8, which is further explained in Section 1.5.2. Thus, previous knowledge provided the foundation with which to begin building a deeper understanding of the nature of collaborative housing through further enquiries and reading, followed by four in-depth case studies. A comparative study of London Community Land Trust (LCLT) and Beijing Cooperative Security Housing (BCSH) was designed to explore their origins and evolution at the scoping studies (Figure 1-8). In each case, three key gatekeepers were interviewed in the second research period (Appendix 10).

Figure 1-8: The stages of development of the research approach

The Development of the Research				
Time	The postgraduate taught study and master's dissertation	Before the PhD study to its early beginning in January 2016	February 2016 to March 2017	April 2017 to thesis completion
Abductive research strategy	Earlier knowledge	Stage 1	Stages 1 and 2	Stages 3 to 6 (Stage 4 began in October 2017)
Investigation	Archival documents and theoretical studies	The initial research Archival documents	The scoping study October 2016 to March 2017	The main empirical study March 2017 to October 2019
Research focus	The outcomes of community-led housing in England	Process and outcomes of a collaborative housing project in China	Process and outcomes of collaborative housing projects in England and China	Causal powers, structures and mechanisms underlying collaborative housing projects in societies in England and China
Research philosophy and key methods	Qualitative research with the master list of community-led housing cases Comparative case studies	Pragmatism Mixed method 2 case Studies	Pragmatism Abductive approach Mixed method Experts' opinions (Survey questionnaire in western countries and semi-structured interviews in China) Comparative Case Studies with one English and one Chinese case	Critical realism Abductive approach Mixed method Experts' opinions (Survey questionnaire in western countries and semi-structured interviews in China) Multiple Case Studies with one urban and one rural case in both England and China

(Source: The author)

Meanwhile, I tested the ideas of the expert academics and practitioners in each country in terms of the five pillars to disclose broad determinants in the international context. A small-scale survey questionnaire was developed based on the Delphi method (Skulmoski et al., 2007; Okoli and Pawlowski, 2004) to understand the views of academics and practitioners who were involved in the collaborative housing field in England and other European countries (Appendices 2 and 7). Semi-structured interviews with Chinese academics and gatekeepers that worked in the field were more appropriate than surveys given that they allowed for oral explanations (Stening and Zhang, 2007) (Appendices 7 and 10). These different investigation strategies were based on the considerations of international and national conventions underpinning collaborative housing research and were designed to seek out comparative data that reflected the meaning of participants (Hantrais and Mangen, 1996; Sekaran, 1983). Chapter 3 (which discusses the methodology) provides detailed illustrations of the methods and techniques used. Results derived from the two preliminary studies supported the importance of the five selected pillars and highlighted the link between the geographic context surrounding urban and rural land, and the possibility of collaborative housing in practice (Appendices 8 and 9). Sections 4.4 and 6.4.2 re-interpret these two scoping cases (LCLT and BCSH) using results from multiple case studies.

1.4 Research aims, questions and objectives

This thesis aims to explore the nature of the re-emergence of collaborative housing since the 2000s by answering two overarching questions: ‘What is collaborative

housing and how does it operate in different societal contexts?' Five sub-questions are also investigated:

(1) *Drivers*: What are the drivers of collaborative housing initiatives in different societies? What other drivers are considered by experts in the field to be important?
(2) *Enablers and barriers*: What factors have enabled and constrained their implementation in England and China?
(3) *Shapers:* How do the five proposed pillars (including Actors, Partnerships, Ideas, Land and Finance) shape the development of collaborative housing and related initiatives in England and China?
(4) *Design principles*: How are the principles of co-operation, co-production and collaborative governance enacted in England and China?
(5) *Outcomes*: What are the common and distinctive features and outcomes of these collaborative housing initiatives in England and China?

To achieve these research aims and answer the research questions, this thesis will meet the following six research objectives:

(1) To identify existing concepts of collaborative housing in modern societies;
(2) To understand the diverse development patterns underpinning collaborative housing in an international context;
(3) To explore the roles of five selected pillars in shaping the development of collaborative housing and related initiatives in England and China;

(4) To discover the drivers, implementation enablers of, and barriers to, collaborative housing initiatives and outcomes, or distinctive features they offer to residents and societies in both England and China;
(5) To reveal the roles of the state and the market and the dynamic of civil society involvement in collaborative housing initiatives in England and China;
(6) To analyse the enactment of the principles of co-operation, co-production and collaborative governance in England and China.

1.5 Thesis design

1.5.1 Summary of researcher positionality and methodology

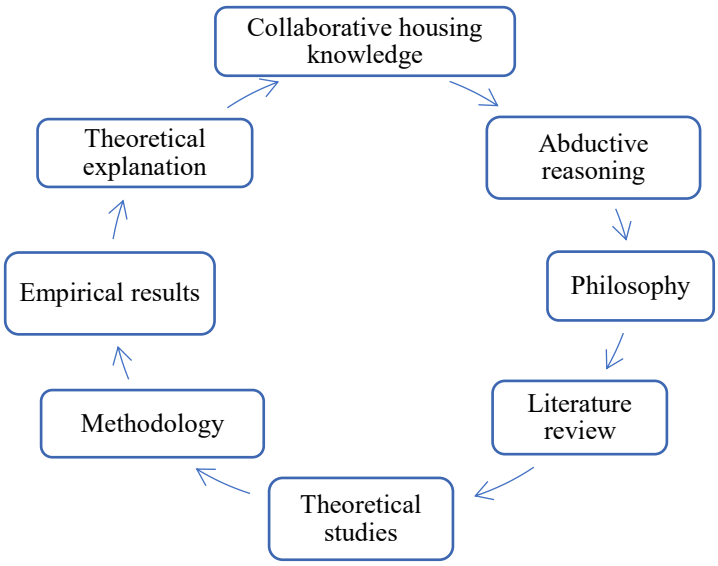
The researcher's positionality, in social sciences, influences decisions about the whole investigation process and construction of knowledge (Saunders et al., 2016). The system underpinning collaborative housing keeps evolving. Practitioners, participants and key stakeholders view this idea in multiple ways and modify models with their preferences and local institutional and social structures. For example, reviewing Fromm's (1991) work on collaborative communities, Richman (1995) applied the idea to neighbourhood renewal. Fromm's recent paper in 2012 used the term *collaborative housing* and analysed small-scale neighbourhood repair using the concept of social capital.

The interaction between the collaborative housing idea and practice was also evident in the changing application of the classic CLT model, which showed from low-income

homeownership to other forms of affordable housing, including rental[2] (Crabtree et al., 2012). Learning from Jarvis's (2015a) investigation about the reflexivity of cohousing residents and how they changed their behaviours, researchers also acted reflexively and collaborated in investigations (Fromm, 1991; 2012; Davis, 2010a; 2017). In social science, reflexivity referred to the consideration of various subjective factors that influenced the researcher, such as personal biography, relations to the informants and the investigation situation (Gregory et al., 2011). In my case, I was interested in the possibility of conducting a comparative policy study in England and China, given the different findings uncovered during my postgraduate taught study. Later I was inspired by the similar idea of common/public land governance, and by the five pillars. So, I used the critical reflexivity method to design the research process, keep it credible and ensure it is in-depth (Gesler and Kearns, 2005; Wiles et al., 2005). Critical reflexivity highlighted the importance of a '*self-conscious, effective, and ethically sound practice*', or interpreting empirical observations on the basis of the researcher's critical reflections (Gesler and Kearns, 2005, p. 36). Therefore, this thesis began with theoretical and philosophical inquiries, then sought to formulate research questions and select an appropriate research methodology and theorisation process (Horvath, 2008). Figure 1-9 shows how I approached the challenge of developing an in-depth and constructive understanding of collaborative behaviour in land and housing. Chapters 2 and 3 show how I continually examined my assumptions in a rational and critically reflexive way.

[2] I also had a formal conversation with John Davis in 2017 via email. He mentioned that the CLT model in America paid more attention to the function of governance after the construction process, but in the UK, community-led housing initiatives, including CLT, centred on the housing provision. (He was invested in the UK to talk about the CLT model).

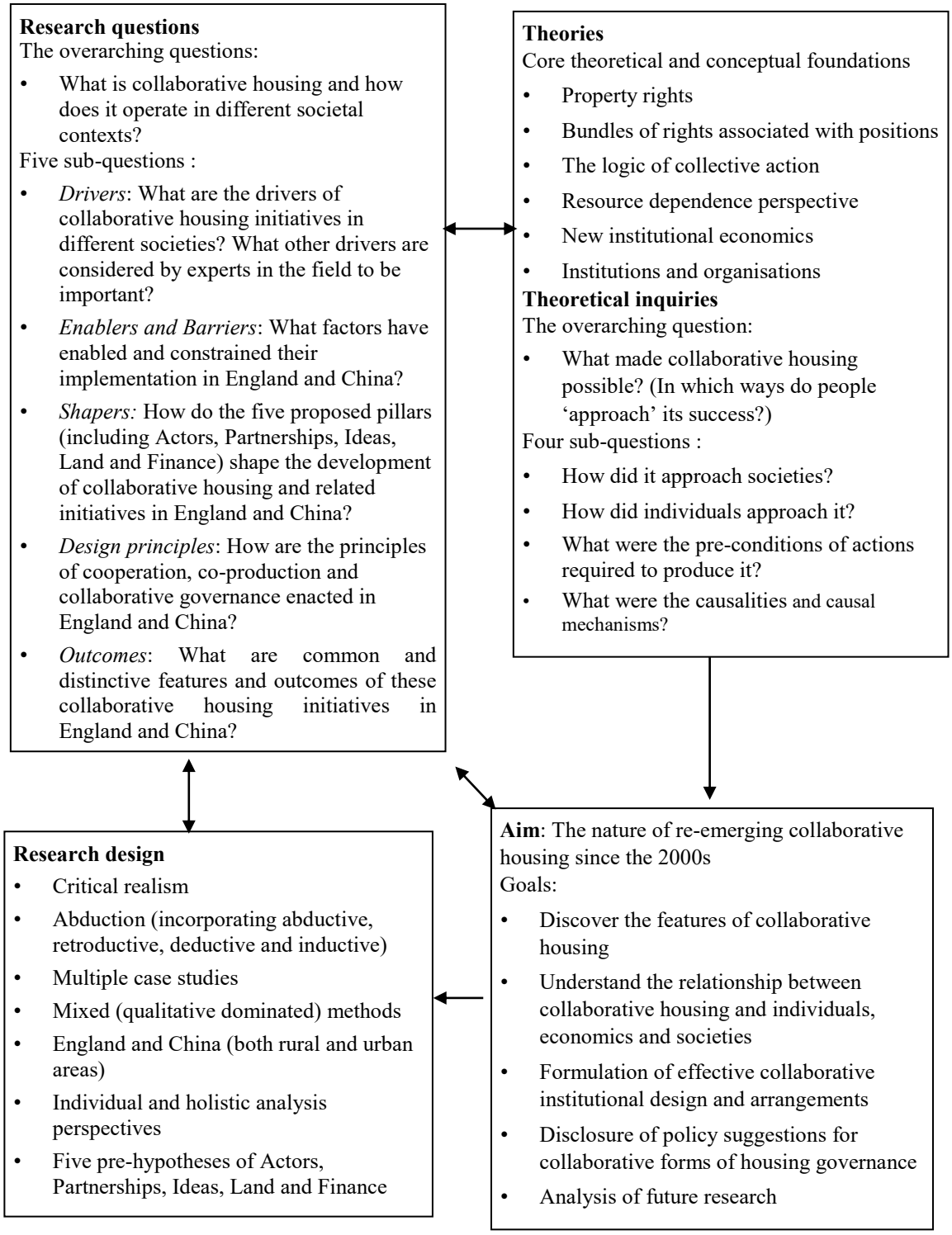
Figure 1-9: Thesis design



(Source: The author)

This thesis is a qualitative-dominated exploratory investigation (based on multiple case studies conducted in England and China) that uses abductive reasoning drawn from the critical realist philosophical position (Saunders et al., 2016). Figure 1-10 presents the relationships between the research aims, questions, theories and design used in the thesis (Maxwell, 2012). As a Chinese PhD researcher studying in the UK, my prior knowledge of different land contexts in the two countries helped consider the best use of land resources to address modern challenges in housing. Being bilingual (in English and Chinese) was also advantageous when collecting empirical data in the two countries, and addressed the data bias introduced in traditional collaborative research projects conducted by two or more researchers (Sekaran, 1983; Hofstede, 2001; Saunders et al., 2016). I also worked with English and Chinese researchers and practitioners to better understand local contextual dimensions when defining local meanings of collaborative housing and collecting and analysing data to make the research ecologically reliable.

Figure 1-10: Thesis concept map



(Source: The author)

1.5.2 Abductive research strategy

I created an abductive research approach and an in-depth design (Figure 1-7) for this exploratory investigation, to help understand the re-emergence of collaborative models of housing in England and China since 2000 and the relevance of the 'five pillars' for each case. Abduction unearthed 'surprising facts' or 'puzzles' from the researcher's observations pursues plausible explanations by generating new hypotheses and ideas (Saunders et al., 2016; Timmermans and Tavory, 2012; Dubois and Gadde, 2002). I used abduction to explore theoretical propositions based on personal observations and built these into the research aims and questions stated in Section 1.4 above (Saunders et al., 2016). Figure 1-11 outlines the alignment and integration of the research reasoning circle, environment and design. The structured reasoning circle included six stages, moving between abductive, deductive and inductive inferences, to facilitate replication (See Figure 1-8). Stages 1-2 were the preliminary studies; Stage 3 was the period of transformation of the design of the thesis enacted in Stages 4-6 to build theory.

I now summarise the six stages shown in Figure 1-7.

- Stage 1 proposed the preliminary hypothesis associated with the five pillars (distinctly using deduction and moderately using induction and based on empirical and theoretical data): **Actors, Partnerships, Ideas, Land and Finance**.
- Stage 2 deductively examined their effectiveness in the real world. These two research stages clarified the meanings of collaborative housing in an international context,

particularly in England and China, confirmed the importance of the five pillars and defined their theoretical interpretations.

- Stage 3 repeated the reasoning procedures of Stages 1 and 2 and then selected appropriate methods in response to the preliminary results. It analysed the two preliminary investigations, conducted literature review, and carried out extensive interviews and observations in England and China.

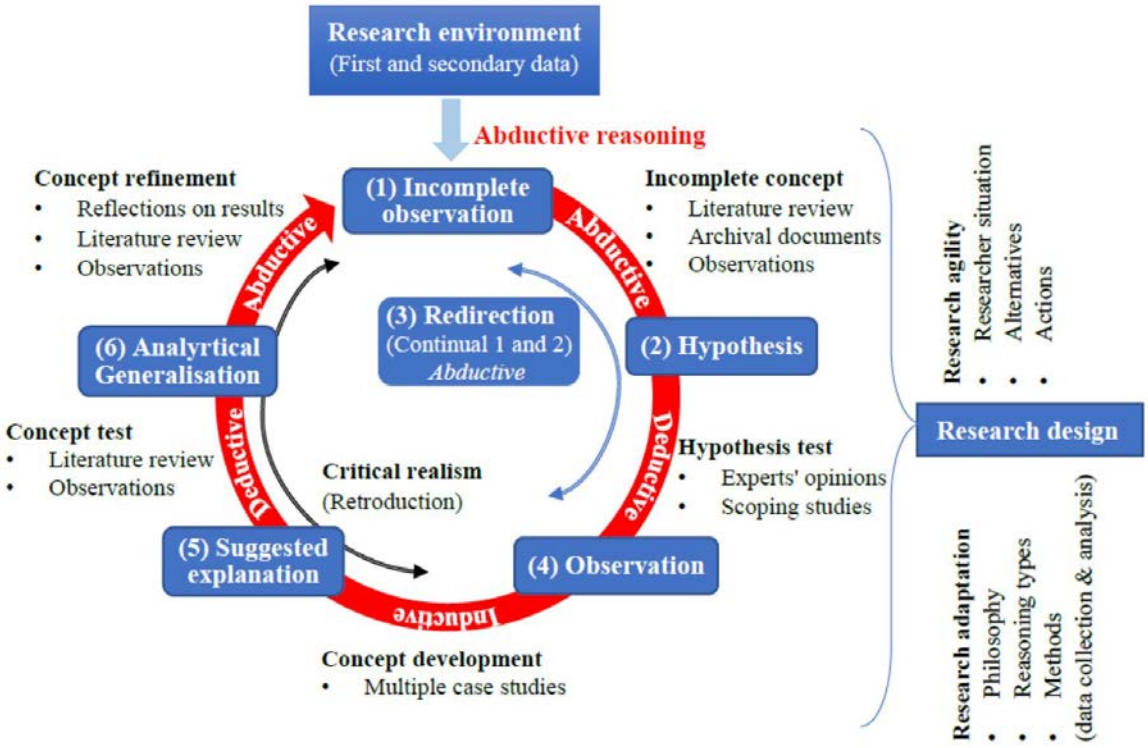
- Stage 4 explored empirical contexts faced by activists and practitioners through multiple case studies according to the refined theoretical insights from Stages 1-3.

- Stage 5 deductively examined the viability of the results and particularly discussed theoretical propositions of five pillars.

- Stage 6 reflected on the results until this stage (particularly the new discoveries and emergences derived from Stage 5) and empirical observations (including the feedback from the constructed academic and empirical collaborative housing community) throughout the whole study. Then it employed theoretical and analytical concepts to re-interpret findings to refine and re-conceptualise the nature of collaborative housing in modern societies. Meanwhile, I evaluated the transferability of the suggested theory of collaborative housing, the five-pillar analysis, to different contexts. This thesis focused on affordable housing provision for people in need and aimed to provide insights into the feasibility and adaptability of collaborative housing to provide affordable housing in different systems. The explanation formulated using the five pillars (including their sub-elements) might be less relevant when seeking to understand other projects that focus on things other than affordability. Indeed, there

were a variety of other diverse collaborative motivations and economic capabilities (in access to resources for production) (Lang et al., 2018; Lang and Mullins, 2015).

Figure 1-11: Abductive research strategy



(Source: The author)

1.5.3 Justifications: Critical realism

This thesis applied critical realism because of three advantages. Firstly, according to critical realism's historical view, shared knowledge of the past to the present has causal power and affects societal elites' perceptions (Sayer, 1992; Dwyer, 2015). It helped to analyse how the influence of globalisation and information exchange in the context of

land, housing and related governance across space and time affects modern collaborative forms of housing in England and China and across the Global North and the South (Dwyer, 2015; Yuan et al., 2014). Secondly, critical realism's causal mechanism ('demi-regulatory') helped to consider 'accidental' features of modern collaborative housing (Danermark et al., 2005; Walsh and Evans, 2014). A good example was that in the top-down Le Grand Portail project, in Nanterre (a western suburb of Paris), France, the housing developer argued that if he did not apply for this social housing project with the local authority, the project would not exist. In this project, housing users participated in the housing design and commonly managed the communal spaces. Thirdly, abduction was also argued to be one of the more effective reasoning approaches for use in critical realism (Danermark et al., 2005).

Stages 1-3 in pragmatism narrowed the social meanings of collaborative housing and examined the five-pillar assumptions in a rational manner to discover theoretical variables in England and China. Critical realism and pragmatism acknowledged the causal associations underpinning human activities (Johnson and Duberley, 2000). Johnson and Duberley (2000, p. 15) proposed a combined concept, the pragmatic-critical realist position, to describe their ontological acceptance and argued that, *'there is a transcendental reality beyond our discursive productions'* concerning the relationship between scientific knowledge and reality in social science. Although these two philosophies both viewed reality as complex and historical, pragmatism argued that knowledge generated from human willingness and the consequences of events, phenomena and actions (Sayer, 1992; Johnson and Duberley, 2000). The Beijing CSH policy, which was never implemented, highlighted the importance of support from

housing users. In the Chinese state-owned land system, the promise of the state was to best use public land and extract benefits from the land that served citizens. Collaborative values (principles, strategies and competitive advantages) around public land affected the enactment of this policy. Less significant were the resources and common goals focused on addressing affordable housing issues among the government and people in housing need. Instead of questioning Chinese mutual/collaborative spirits, the scoping studies highlighted the fact that it was easier to apply the idea of common/public land to rural areas than it was to urban areas regardless of the different English and Chinese national land systems (Appendix 7).

Meanwhile, in a very recent paper, Larsen (2019, p. 1365) highlighted the importance of tenure in affecting '*the realisation of cohousing ideas and implications for who can access this housing form*' by analysing the Danish cohousing history since the 1970s (Figure 1-12). Furthermore, according to the investigation of Hackett et al., (2019, p. 32), 80% of the ninety-one investigated CLT homeowners stated the importance of affordable housing tenure when engaging in CLT models. Therefore, it was necessary to explore the causal link between collaborative values (based on shared rights and what collaborators share), structures (stakeholders, regulations and resources), and approaches to housing in societies. These themes were used to organise the sections of the literature review in Chapter 2. Three individual, economic (including property right) and social-analytical aspects were used as three interview themes (see Appendix 3). These three themes allowed me to explore the different ways in which collaborative housing (including housing providers, users and community organisations acting on behalf of users) and

products (housing units and communities) were implemented and governed in modern societies using critical realism (Danermark et al., 2005).

Figure 1-12: Danish cohousing projects

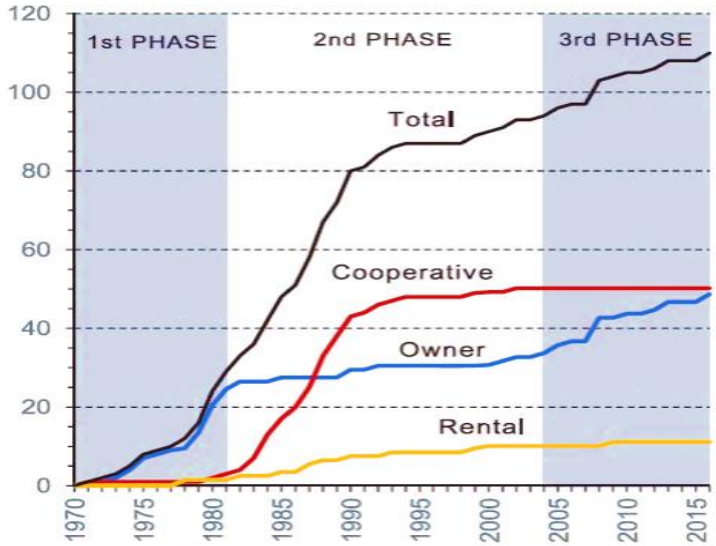


Figure 1. Danish intergenerational cohousing communities by tenure form, 1970–2016 (cumulative count of 110 communities). New communities are listed by the year that the first members took up residence. Source: Jakobsen & Larsen (2018)

(Source: Larsen, 2019, p. 1352)

1.5.4 Theoretical connections

Critical realism, as a meta-theory, shaped three aspects of this thesis: (1) the research questions, context, topics and analytical focus, (2) the research design and investigative process, and (3) the theorising (including data analysis) design and process (See Sections 3.3). Bhaskar (2010), an influential critical realist, proposed two dimensions of reality: transitive (the changing knowledge of things) and intransitive (the relatively unchanging

things that we attempt to know). The intransitive object was full of causal mechanisms and had no direct relation to knowledge and science (ibid.). The selection of theories and empirical contexts aided the exploration of an independent intransitive reality (Danermark et al., 2005; Walsh and Evans, 2014; Raduescu and Vessey, 2009). Critical realism supported a multi-methodological approach and helped to develop an intensive and extensive research design (Danermark et al., 2005; Walsh and Evans, 2014). It focused on the relationship between agency and structure and defined two types of knowledge: the ordering explanation and conceptualisation. The former referred to '*a way of ordering the relationship between observations (or data) whose meaning is taken as unproblematic*' (Sayer, 1992, p. 50). A critical realist paid more attention to the conceptualisation of events, structures, internal relationships and mechanisms (Danermark et al., 2005, p. 120; Sayer, 1992, p. 50). I adopted a critical realism perspective to:

(1) explore factors in affecting collaborative forms of affordable housing provision perform differently regarding practitioners' goals and societies;

(2) discover common preconditions and causal mechanisms at work in the production of collaborative housing projects;

(3) conceptualise the social dynamics of collaborative housing (Archer, 2016; Danermark et al., 2005).

This thesis was on the whole based on new institutional economics (NIE), to answer two research questions: *What is collaborative housing and how does it operate in different societal contexts?* Shared (common/mutual/community/public) land and housing were a

property right institution (Ostrom, 1990, 2003 and 2015; North, 2012; Furubotn and Richter, 2010). Ostrom's (1990; 2015) theories related to the idea of 'commons' had become a widely used frame to discuss diverse collaborative forms of housing governance, as we see in Section 1.2.2. Olsen's (2009) theory focused on the public good facing consumers engaging in provision and highlighted the efficiency of small-scale economies, which largely aligned with the features of modern collaborative housing projects.

The ideology of neoliberal capitalism (financialisation and marketisation) was a macro-level institution of governance, which affects economic performance (North, 2012). North's (2012) institutional change theory contributed to the understanding of the ways in which organisational forms and transactional activities were embedded in path dependencies and the economic institutional past, an idea that was adopted in this field of collaborative housing (Sørvoll and Bengtsson, 2018). North's (2012) theory offered an analytical framework to address questions surrounding collaborative housing and welfare in England and China that existing literature had found difficult to answer (See Chapters 2 and 4).

Notably, NIE mainly focused on the macro-level institutional environment and the micro-level rules of the game that affected economic actors, individuals, groups, organisations and sectors, and how they behaved and interacted with each other (Williamson, 2000). There has been a rapid growth in intermediate organisations in very recent years, such as the ID22 and (English) National CLT Network. However, these organisational interplay and networking actives at the meso level seem to have been relatively passive and inactive

in facilitating the collaborative housing movement since the 2000s (Tummers, 2016; Davis, 2010a) (also see Figure 2-3). The modern small-scale, occasional, sporadic traits of collaborative housing were another good illustration (Lang et al., 2018; Merriam, and Tisdell, 2015; Piekkari et al., 2010). The meso-level circumstances of collaborative housing in England and China were investigated in the initial study prior to July 2017 and were exemplified in the following analysis of the thesis.

Reflecting on the results of the initial investigation, I learned from Olson (2009) and Ostrom's (1990) studies, which applied the principle of methodological individualism and highlighted the importance of potential benefits faced by individuals to understand their motivations for collective actions, rather than just focusing on individual interests (Fitzpatrick, 2018). I created a contextualised ordering framework consisting of five pillars based on the initial study (Appendix 14), combining the logic of collective action (Olson, 2009; Ostrom, 1990), resource dependency theory (Pfeffer and Salancik, 2003), and critical realism's causal explanation (Sayer, 1992). This ordering framework was beneficial for exploring the ways in which people with different cultures and across societies made decisions (Lang and Mullins, 2019; Martin, 2003; Ostrom, 1990; Olson, 2009; Fligstein and McAdam, 2011; 2012). The original framework was designed with five stages: planning, provision, consumption, governance and impact. It was similar to the impact evaluation framework developed by East Midlands Community-led Housing when I conducted a short empirical case study on 19 June 2018. This thesis only provided these two planning and provision stages concerning the multiple case analysis (Appendix 14). There were three reasons for using this created framework first to investigate the

similarities and differences of how English and Chinese activists and practitioners originally understood and applied the idea of collaborative housing on the ground:

(1) England and China had different socio-cultural and political contexts and were in different economic stages, with one developing and one developed. From the traditional perspective of comparative housing studies, collaborative housing was not a top-down and policy-related social event (Doling, 1997; Kemeny, 2001; Wang and Murie, 2011).

(2) Theories of collective action and relevant ideas such as co-production and hybridity were less useful for explaining the types of rights shared by participants in real projects (Ostrom, 1990; 2003; Pestoff, 2008a; Billis, 2010; Mullins et al., 2012).

(3) Usually, institutional analysis focused on relatively large and formal governance systems, such as law and regulation, or on long-term and stable informal customs (Ostrom, 1990; North, 2012), neither of which were particularly compatible with the nature of the research problem here in this thesis (i.e. newly emerging bottom-up and small-scale models of collaborative housing).

In Stages 4-6, I used multiple social science disciplines to explain and conceptualise collaborative forms of housing in modern societies based on the principle of methodological holism. A holistic understanding of empirical results, theories and policies in England and China was useful for exploring a broader range of factors, such as information and knowledge exchange and local environments. According to my preliminary definition, the housing sector was a multiple-stage process. At the planning stage, resources required for production affected the performance of these collaboration

forms of housing in civil societies (Tummers, 2016; Davis, 2015; Thompson, 2015; Czischke, 2018). For example, Czischke (2018) combined the concepts of co-production and stakeholders to analyse the collaborative relationships among multiple stakeholders using two case studies in Vienna and Lyon. She defined collaborative housing as '*a group of people who co-produce their own housing in full or part in collaboration with established providers*' (p. 16) with different levels of participation amongst housing users in projects, ranging from the housing design to production. Therefore, resource dependency theory (Pfeffer and Salancik, 2003) was useful for considering how to re-structure real-life activities. There was a wide range of useful theories, such as institutions and organisations (Scott, 2013) and placed-based development (Rodríguez-Pose and Wilkie, 2017; Garcilazo et al., 2010; Harrison, 2014; Moore and McKee, 2014; Pugalis and Bentley, 2014; Neumark and Simpson, 2015; Huggins and Thompson, 2015). They could be used to apply in future investigations of collaborative housing and practices post-2010.

This multi-methodological approach explored: (1) how the projects in these two countries were developed and the approaches they used to achieve success; and (2) the factors that underpinned their similarities and differences. Knowledge from this thesis was expected to isolate the essential principles and mechanisms that informed the implementation of collaborative housing in very different social (including individual), economic and political contexts, in line with policy learning and institutionalisation (Howlett et al., 2009; Ostrom, 1990; North, 2012; Scott, 2003). The positions of innovations, governance and institutions of collaborative forms of housing justified the legitimacy and significance of this multiple case study of collaborative housing in England and China.

1.6 The thesis structure

Chapter 1 introduces the re-emergence of collaborative forms of housing, outlines how they had been understood by academics and practitioners and highlights my positionality and specific interest in the topic. It presents a summary of the critical realist methodology with the abductive research strategy and theoretical connections of collaborative housing. It shows my research positionality.

Chapter 2 reviews the existing literature on collaborative housing and identifies knowledge gaps that this thesis attempts to fill. It shows how some of these gaps can be filled by multiple case studies to understand the features, structure and nature of collaborative housing models in two very different countries.

Chapter 3 explains my epistemological and ontological positions and associated methods (including all preliminary and formal investigations) used. It shows my exploratory and explanatory strategies and the use of multiple case studies and expands on the theoretical underpinning of my research design. It documents the six stages of theorisation, which align with the stages of data collection discussed in the context of critical realism and theoretical elaboration. It also discusses the ethical considerations and limitations of the research. It shares the details of the data collection instruments (such as the interview guides and survey questionnaires), which are presented in the Appendices.

Chapter 4 analyses the macro-context for affordable housing provision in England and China using a 'decentralisation' framework and then considers the specific policies of the multiple case analysis.

Chapters 5-7 provide a deep analysis of the empirical research findings from multiple case studies. Chapter 5 focuses on the descriptions of the four case studies and highlights the stakeholders. Chapter 6 considers the enactment of collaborative housing ideas. Chapter 7 explains the rationales of the five pillars in generating and producing four concrete collaborative housing communities.

Chapter 8 concludes the thesis by answering the research questions set out in Section 1.4. It also evaluates my theoretical and analytical frameworks for generalisation and understanding. Furthermore, it critically discusses the possible limitations and negative consequences of collaborative housing initiatives and then provides effective institutional arrangements for its development.

Chapter 9 includes: (1) the thesis aims and findings, (2) the main contributions to knowledge, method, theory and society; and (3) the research implication suggestions for future research'. The first two parts review the research gaps addressed.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

This chapter reviews the existing and rapidly growing research literature on collaborative housing to locate the thesis concerning other work and to identify the main gaps that it intends to fill. It first introduces the methods used to conduct this literature review and then presents the research dynamics, including themes based on four existing systematic reviews in this field (Section 2.2). The following sections (2.3-2.4) are organised thematically to understand the nature of the re-emerging collaborative forms of housing in line with the reflections on the results of Stages 1-3:

- Section 2.3 reviews the social meanings of collaborative housing as an idea from three individual, economic and social perspectives, which helps identify social demands, values and innovations and associated performance.

- Section 2.4 looks at the ways which citizens, groups, organisations and sectors engage in collaborative forms of affordable housing provision. It considers the capabilities of practitioners, collaborative principles, existing regulations governing housing provision and associated issues of collaborative provision and arrangements.

I used the systematic integrative review method to engage with the literature to identify the research gaps that this thesis filled towards the theory elaboration (Whittemore and Knafl, 2005; Coren and Fisher, 2006; Souza et al. 2010). I also made use of several very recent systematic reviews in the field (Lang et al., 2018; Tummers, 2016; Clement et al.,

2019; Mullins and Moore, 2018; Moore and Mckee, 2012). This strategy was useful in reviewing new and contested research fields (including in housing) and themes, and the re-emergence of collaborative forms of housing (Whittemore and Knafl, 2005; Coren and Fisher, 2006; Meadows-Oliver, 2016; Ahmed, 2011). When compared to the meta-analysis, it addressed debates about the connections between social phenomena and theoretical explanations that my abductive research strategy focused on (ibid.). Appendix 6 provides details of the integrative review of the modern collaborative forms of housing.

My review of the literature built on four recent systematic reviews (Lang et al., 2018; Mullins and Moore, 2018; Tummers, 2016; Moore and Mckee, 2012) given their valuable contributions and the fact that they reviewed a large amount of the existing literature and empirical cases (Figure 2-1). These four reviews mainly on the Global North, where collaborative housing has developed rapidly. I incorporated their core findings and research themes as supportive and supplementary pieces of evidence into the following sections to engage with comprehensive empirical studies and critically analyse their research dynamics. Meanwhile, I also used them to search for important references and scholars in order to gain more information on theoretical and analytical perspectives that were not covered in these four papers. Keywords associated with mainstream collaborative housing models, such as 'community land trust', 'cohousing' and 'housing cooperatives', were used in the English databases mentioned above to find extensive papers from around the world. I also looked at papers that had the words 'collaborative housing', 'self-help', 'grassroots/individual cooperative housing' and 'individual fund-raising housing' in the titles and context in order to find relevant studies that could reflect Western experts' opinions in this field. This 'snowballing method' was built on my

personal observations from academic conferences and seminars, and through communication with scholars during the study period who introduced me to researchers who used different terms and frames to describe collaborative forms of housing. In the Chinese context, 'gerenjizi(jian)fang' ('个人集资(建)房'), 'hezuo(jian)fang' ('合作(建)房') and 'xiezuo(zhu)fang' ('协作(住)房') were important keywords that were used to search academic studies based on the primary fieldwork and to search for and confirm consistent social meaning in China.

Figure 2-1: Four systematic reviews

Titles, authors (date) and scope of the investigation
CH research (1990–2017): A systematic review and thematic analysis of the field Lang, Carriou and Czischke (2018) conducted a systematic thematic study of collaborative housing between 1990-2017 and focused on 195 relevant peer-reviewed journal articles in English, German and French.
Self-organised and civil society participation in housing provision Mullins and Moore (2018) compared diverse collaborative housing models, including CLTs, cooperatives and collaborative co-production projects by reviewing 10 papers from 10 countries, including the United Kingdom, the USA and France.
The re-emergence of self-managed cohousing in Europe: A critical review of cohousing research Tummers' (2016) review of a decade of cohousing studies in Europe (including extensive collaborative self-managed housing cases and cohousing projects).
Empowering local communities? An international review of community land trusts Moore and McKee (2012) compared the CLT developments in England, Scotland and the USA by reviewing the related policies and literature.

(Source: The author)

2.2 Research dynamics

2.2.1 Four recent systematic reviews

Lang et al. (2018) systematically reviewed the international literature review. They focused on the direct and active participation of residents (not including self-providers), particularly concerning the development process and tenures, from 1990-2017. They used Fromm's 1991 book initially to understand the features of modern collaborative housing across five main themes and drew on reviews of one hundred and ninety-five papers: (1) socio-demographic, (2) collaboration, (3) motivation, (4) effects and (5) context. They argued that the characteristics of each remain diverse. One of the clearer themes, 'collaboration', with its focus on both 'governance' and the 'continuum between individual and collective', elaborated upon Fromm's (2012) definition provided in Section 1.1. According to the socio-demographic theme mentioned in sixty-five papers, 'seniors' were the most frequently referenced group living and engaging in collaborative housing projects. Since the 1990s, collaboration with external stakeholders had attracted increasing attention in accounts of the governance of projects and they further reported an increasing trend of this type of collaboration. They argued that the involvement of collaborative housing residents in their projects depended on specific circumstances and lifecycle stages. Community sense and sharing knowledge in material and non-material contexts were two factors that influenced the individual continuum in collaborative groups. The idea of collective living was the common motivation of those engaged in the projects mentioned in the sixty-five papers and embedded in all types of motivation (p. 11). Meanwhile, 'alternative lifestyle, radical living and environmental awareness' were three other crucial aspects. Regarding the potential effects proposed by the reviewed

papers, a change occurred from affordability at the early stage to sustainability after 2004, and to newly building the commons as an alternative, democratic and horizontal housing sector that had sat beyond the state and the market since the financial crisis. Figure 2-2 shows that the origin of collaborative housing has, since the 1990s, seemed to relate to urbanisation, and then to the changing housing sector (including the improvement of building techniques, housing policies and housing shortages) between 1997 and 1999, demographics (health and ageing) issues in 2002, and, more recently, since 2006 to land, planning and homeownership.

Figure 2-2: Various contexts in which collaborative housing is embedded in society

Thematic area	Second-order theme	First-order theme	Theme description/explanation	Emerged	Number of papers
Contexts	Socio-political contexts	Socio-economic crises	CH as a response to housing shortage caused by general economic problems	1999	12
		Autonomous spaces	CH as concrete places of resistance and alternatives to liberal market capitalism	2007	5
		Post-Fordist city	CH as responses to transformations in work and social life	2009	2
	Spatial contexts	Neighbourhood	CH in the context of (urban) neighbourhoods	1994	11
		Rural	CH as a rural phenomenon	2004	8
		Urban	CH as an urban or peri-urban phenomenon	2009	4
	Housing contexts	Social housing	Relationship between CH and social housing	1991	7
		Housing policies and sectors	Role of general housing market and policy developments for CH	1998	12
		Informal housing	CH overlaps with the informal housing sector	1999	3
		Private market housing	CH as hybrid arrangements between civil society and private market housing	2004	5
		Home ownership	Home ownership as an element of CH movements	2006	6
	Housing related sectors and policy fields	Third sector	CH as an independent institutional sphere besides market and state institutions	1991	13
		Urban development	CH models as catalysts in urban development	1991	17
		Architecture	A professional field, including mainstream and alternative architects, architectural education, and consultancy dealing with CH	1997	12
		Health and ageing	CH in the context of health issues related to older residents and elder care	2002	18
		Social work	Link between social interventions in housing and CH	2007	1
		Planning and land use	CH as novel planning as well as existing planning regulations hindering CH	2011	8

(Source: Lang et al., 2018, p. 16)

I now move on to the three other key sources (Mullins and Moore, 2018; Tummers, 2016; Moore and Mckee, 2012). I categorised three crucial themes concerning the development of collaborative housing using a wide range of evidence: (1) the relationships to the housing system; (2) the approaches to sector development and (3) the factors involved in shaping the collaborative housing and communities. Firstly, one interpretation of the re-emergence of collaborative housing was in response to the decline in housing welfare and the financialisation of housing in an international context (Mullins and Moore, 2018; Lang et al., 2018). Mullins and Moore (2018) also suggested that national (local) housing systems, and the role of activists, were two key factors that shaped and delivered various features of collaborative housing, beyond the Global Financial Crisis of 2007-2008. Tummers (2016, p. 2024) argued that '*collaborative housing initiatives fit in the societal trends of decentralisation, increased self-reliability and demand for participation and custom-made solutions*'. Moore and Mckee (2012) proposed that many CLT members, as human resources, were influential in planning permissions and housing allocations given the effects of localism and empowerment. The Localism Agenda and 'Community Right to Build' policy in the UK were to be empowering citizens to foster participation, democracy and community governance to some extent (Lang and Mullins, 2015).

Second, the changing housing governance saw the emergence of two new features: (1) the extra-sector collaboration among the state, market and civil society organisations and (2) the emerging intermediate organisations who are working with existing sectors (Mullins and Moore, 2018; Lang et al., 2018; Davis, 2010a). Mullins and Moore (2018) particularly mentioned that these actors were developing and planning to engage with platform-based activities in the digital era to meet 'the interests of place-based

communities', rather than delivering CLT projects (Crane and Manville, 2008; Moore and McKee, 2014; Engelsman et al., 2018; Williams, 2018). Tummers (2016) had categorised five elements of cohousing and its practitioners and scholars' interpretations and perspectives since the 2000s, which had certain similarities with Davis's (2010a) findings about the rapid growth of the CLT sector in America since the 1990s (Figure 2-3). Figure 2-3 shows its development features of mutual learning, case-based advocacy, small economic scales and happening by chance in societies, which supports the view of few meso-level organisational interactions as analysed in Section 1.5.4.

Figure 2-3: Cohousing and community land trusts

Themes	Tummers (2016, p. 2027-2031)- cohousing	Davis (2010a, p. 27)- CLT
Social demands	• Neighbourhood development (positive and negative influences)	• The diverse applications of the model
Physical demands	• Changing lifestyles- accommodating the everyday (living experiences)	• The increasing public and private investment
Economic and political environment	• Emerging themes- financial and legal aspects	• Changing political and economic environments
Inter-individual/group collaboration	• Advocacy, guides and case studies	• Mutual learning and technical support among practitioners
Technology changes	• Architecture and designing community	• The standardisation of the sector (the documents, definitions and practices)
Performance	• Rapid development within the recent decade	• Rapid development since the 1990s.

(Source: The author)

Thirdly, the features of modern collaborative housing and communities were arguably related to the socio-cultural influences on housing and related lifestyles (Mullins and Moore, 2018; Lang et al., 2018; Tummers, 2016; Wang and Wang, 2014). The new collaborative housing sector emerged with prices, products and services that responded to modern housing and broader social needs, such as the need for neighbourhood renewal and housing and land affordability (Tummers, 2016; Mckee and Moore, 2012; Lang et al., 2018). In the CLT model, its two developmental features were underpinned by the notion of community/common ownership, which attracted global attention: (1) ensuring that CLT housing remained accessible to target groups by restricting resale prices, and (2) keeping the benefits within local communities using citizen governance (Moore and Mckee, 2012). Technical change, such as in architecture, was also crucial for modern collaborative housing (Lang et al., 2018; Tummers, 2016). For example, cohousing integrated technical, social and financial aspects to respond to '*a central set of values*' (Tummers, 2016, p. 2026).

2.2.2 Research approaches

Existing studies, in this field, were generally based on qualitative case studies and the use secondary data, including that on policy contexts (Droste, 2015; Jarvis, 2015a; Field and Layard, 2017; Lang and Mullins, 2019; Tummers, 2016; Bunce, 2016; Thompson, 2015; Marckmann et al., 2012; Bassett and Jacobs, 1997). They were essential sources if we were to pinpoint the dynamics of global collaborative housing, its features and challenges with fostering it in comparison to China. A wide range of methods was adopted to acquire

an in-depth understanding of the ways in which collaborative ideas were interpreted and implemented by practitioners on the ground. For example, the qualitative, biographical approach was adopted to explore the enablers and barriers facing CLT homeowners and their life experiences through an investigation of 20 CLT homeowners from two south-eastern cities in the US (Skobba and Carswell, 2014). Furthermore, Lang and Novy (2014) used case studies with mixed data, including a large-scale household survey and key informant-based interviews, to analyse the relationship between housing cooperatives, the way they empower housing users, and social cohesion at the city level in Vienna. They also designed a multi-level research strategy to understand governance structures, in which they discovered the role of linking social capital by recognising the power-relationships among people with different positions. This multi-level design was also useful for this thesis for identifying the relationship between local collaborative housing groups and their umbrella organisations. Wide qualitative research strategies, such as ethnographic observations, oral histories and interviews, were used in the empirical investigation (Jarvis, 2015a). There were many cross-national and cross-sectional empirical studies (Archer, 2016; Czischke, 2018; Jarvis, 2015a). These qualitative, comparative and case-based elements were useful and were thus adopted in this thesis to discover the similar factors that helped facilitate projects to be worked on, common barriers and differences embedded in local conditions in the English and Chinese contexts.

However, few investigations examined the nature of collaborative forms of housing across the Global North and the South, which was also highlighted in the existing literature (Mullins and Moore, 2018; Lang et al., 2018). Similarly, in studies on housing,

few published papers analysed England and Mainland China (Wang and Horner, 2012; Wang and Murie, 1998; Seng and Luo, 2012). There were some papers related to the UK (England) and mainland China, but they focused on the housing activities in the 18th and 19th centuries. One possible reason for this was their differing political settings, and the differing effects of capitalism and socialism (Wang and Horner, 2012). Indeed, most examined policy contexts from the macro perspective and drew upon secondary data. Few empirical case-based studies had been conducted (Wang and Horner, 2012; Wang and Murie, 1998; Seng and Luo, 2012). Studies conducted by Wang and Murie (1998) and Wang and Horner (2012) strongly influenced me to carry out this exploratory, cross-cultural study that laid the foundations for decentralised governance progress in England and China. Seng and Luo (2012) analysed the context of English affordable housing by clarifying definitions, classifications, supply models, benefit-sharing and governance and providing policy suggestions for China. The impact of globalisation and neoliberalism on the re-emergence of collaborative housing had not been sufficiently studied.

This lack of comparative and varied analysis might negatively affect research into dynamic patterns underpinning self-organising and self-help activities in urban and rural housing and community renewal and improvement, and the changing culture of Chinese traditional co-living and co-production (Li, 2008; Liang, 2014; Silverstein, 2006; Gilroy, 2013). For example, I found a paper in the (Chinese) *Journal of Rural Reform and Development,* titled 'Investigation and Thoughts on Organising Farmers to Build Multi-storey Apartments in Centralised Villages' ('关于中心村组织农民建造多层公寓式住房的调查与思考') written by Li in 2008, which examined the necessity of self-organised housing activities in villages and associated outcomes based on case studies of four

villages in Yuyao, a county-level city in Zhejiang Province. An interesting finding was that this paper was found via the webpage of the China Rural Comprehensive Reform Research Centre (http://znzg.xynu.edu.cn/info/1013/22678.htm, Accessed: 16 September 2019). This research centre, also an important training organisation in China, published this paper on 5 July 2017. It had been read one hundred and forty-one times by 16 September 2019. It proposed a critical hypothesis: Chinese academics and authorities were working on research into rural self-organised housing projects and associated reforms underpinned by rural collective land.

2.3 Meanings of collaborative housing

2.3.1 Individual and social contexts

Recent studies have demonstrated that shared rights in collaborative housing practices bring the distinct enacting features of the horizontal decision-making process and distributed ledger organised in civil societies (Gruber and Lang, 2018; Jarvis, 2015a; Fitzpatrick, 2018; Bunce, 2016; Davis, 2015; Lowe and Thaden, 2016). Collaborative forms of housing arguably (1) brought collective/community/public good benefits, met housing needs and improved citizens' wellbeing, particularly for those squeezed out of the market, and (2) re-built the relationship between the state and citizens since the neoliberal economic governance (Hackett et al., 2019; Gruber and Lang, 2018; Aernouts and Ryckewaert, 2018; Field and Layard, 2017; Tummers, 2016; Gooding, 2013). However, the benefits of these activities might not always be worth the associated social costs, such as the time and energy spent on supporting and defining activities, and their

associated contexts, particularly where projects were not realised (Mullins and Moore, 2018; Tummers, 2016; Fitzpatrick, 2018; Bunce, 2016; Field, 2015).

The global spectrum has shown that collaborative housing and communities vary in size (from low-rise, stand-alone communities to large, high-rise dwellings), shared common facilities (kitchen, living rooms and other leisure facilities), locations (rural, suburban and urban areas) and ownership (rented, shared ownership or single ownership) (Larsen, 2019; Sørvoll and Bengtsson, 2018; Fromm, 2012; Thompson, 2015; Lang and Mullins, 2015). Regarding the collective living, Lang et al.'s (2018, p. 10) paper argued that personal autonomy is embedded in participative actions designed to control personal living contexts (Hudson, 2019; Sørvoll and Bengtsson, 2018). For example, Chiodelli and Baglione (2014, p. 26) demonstrated that '*cohousing can be properly considered a variety of the private residential communities' family*'. When investigating the history of Danish cooperative housing from 1980 to 2017, Sørvoll and Bengtsson (2018, p. 13) pointed out the emergence of '*one-half solidarity and one-half home-owning individualism*' in many modern communities, which was not analysed in Lang et al.'s (2018) literature review. Danish cooperative housing had, since the 2000s, moved towards 'members' individual and group interests, and away from external societal solidarity with '*the overriding strength of self-interest and interdependence as foundations of solidarity compared with altruism and norms*' (Sørvoll and Bengtsson, 2018, p. 13). However, it also showed how broader economic and political trends can undermine collaborative models – had the Danish and Norwegian co-ops followed the common ground principle it would have been more difficult for the model to be undermined (Sørvoll and Bengtsson, 2018). Cohousing

is a very specific and much less individual form of homeownership and normally engages with middle-income populations (Tummers, 2016; Lang and Mullins, 2015).

Some authors positioned collaborative housing as part of a wider response to an unjust economic and social order (Lang et al., 2018; Davis, 2010a; 2010b; Lowe and Thaden, 2016; Chatterton, 2016; Fromm, 2012; Wu, 2016; Song, 2015; Wang and Wang, 2014; Wu et al., 2013; Seyfang, 2010; Wong and Jun, 2006). These social benefits may include social care and support for older people and integrated communities, accommodation of immigrants, social and neighbourhood repair, urban sustainable development and techniques for governing land and housing affordability in perpetuity (Lang et al., 2018; Davis, 2010a; Lowe and Thaden, 2016; Chatterton, 2016; Fromm, 2012; Wu, 2016; Song, 2015; Wang and Wang, 2014; Wu et al., 2013; Wong and Jun, 2006).

For example, in the case of 'self-help housing' in England, scholars stated that the renewal of empty homes could bring a variety of advantages for local and disadvantaged people, particularly in the context of neighbourhood regeneration, community safety, employment and training opportunities (Pattison et al., 2011; Moore and Mullins, 2013; Mullins, 2018). Chatterton (2016) championed 'ecological cohousing' and low impact living both as an academic and as a practitioner in the pioneering LILAC project in Leeds, England (also see TEDs TALKs, https://www.youtube.com/watch?v=WUpRHUDcqLI, Accessed: 10 May 2019). Gender was important to the creation of inclusive commoning practices in Dutch and English cohousing contexts (Tummers and Macgregor, 2019).

In China, the modern national governance system of towns (including villages) and cities was established by local civil voluntary and autonomous organisations who were the first tier in this governance system (Wu, 2005; Bray, 2006; Tang, 2015). Citizens participated in the regeneration and governance of urban and rural communities and communal spaces, and the operation of the public daily life and affairs (Zhu, 2015; Wu, 2005; Bray, 2006; Tang, 2015; Enserink and Koppenjan, 2007). Liang (2014) examined the urbanisation process in Beijing, Shanghai and Guangzhou since 1949 from a historical perspective. In his book, Liang mentioned certain details related to successful grassroots collaborative urban renewal, such as the regeneration of the common pavements ('胡同'), courtyard houses and the role of self-help housing in reshaping slums and old neighbourhoods.

2.3.2 Economic (including property right) context

From the literature reviewed in this section, collaborative housing could be viewed as an antithetical product and even a non-mainstream one that evolved according to historical trends that opposed the emergence of neoliberal economic governance of housing (Mullins and Moore, 2018; Sørvoll and Bengtsson, 2018; Lang et al., 2018). For example, in the Netherlands, policies, such as Big Society in 2010 and the New Dutch Housing Law in 2015, indicated a trend towards the decentralisation of collaboration and the participatory role of community/families in housing provision and a shift from the third sector, especially Dutch HAs since the 1989 neoliberal-based housing policy. The re-emergence and evolution of collaborative housing depend on the attitudes of interest groups, including social elites, towards collaborative forms of housing solutions. For

example, Sørvoll and Bengtsson (2018, p. 6) found that '*the political discourse of Danish cooperative housing developed over time in response to specific circumstances and challenges to solidarity*'. In England, community-led housing, especially the CLT model, was defined as the '*political interest in the role of civil societies and community participation*' (Mullins and Moore, 2018, p. 5). In 2017, Hebei, a city near to Beijing, encouraged rural residents to form a collective with urban residents to build (public-rental-based) properties based on the rural land laws and regulations in order to improve the effective use of regional land resources (http://www.gov.cn/xinwen/2017-08/29/content_5221224.htm, Accessed: 12 October 2017).

The idea of common ground in the CLT model is argued as a means to prevent the financialisation and privatisation of land resources (Davis, 2017; Thompson, 2015). More recently, internationally, CLTs are increasing in number as a response to financialisation and property speculation, and addressing the impact these forces on low- and middle-income groups in urban areas (Davis, 2017; Midheme and Moulaert, 2013; Thompson, 2015; Bunce, 2016; Moore, 2018; Hackett et al., 2019). While the *Community Land Trust Handbook*

> '*articulated the CLTs' obligation to not only use and develop their assets for the benefit of disadvantaged individuals, but also to support those individuals through and after the purchase of homes on leased land*' (Crabtree et al., 2012, p. 3; Davis, 2010a, p. 23).

Jarvis (2015b, p. 202) investigated English community-led housing (CLH) from the perspective of general citizens (including initiators and practitioners) and argued:

> '*Paradoxically, while home and community are essential to a local sense of identity and belonging, connections have not been made between "slow" opposition to the homogenising effects of corporate development and CLH*'.

The 'slow' opposition to the existing housing provision approach is also evident in Austria (Steele, 2012) and Australia (Crabtree, 2018). Bunce (2016, p. 140) investigated London CLT and argued that '*larger neoliberalised government and private sector processes*' should be taken into account to form a large group of supporters in these non-profit, non-governmental organisations (Davis, 2010a; 2010b; 2017). Similarly, Field (2015) argued for the potential of community groups in preserving affordable rental housing in New York City using a public discourse strategy against capital accumulation. Affordable housing governance is beginning to gain traction with municipal authorities in some cities (Droste, 2015; Ache and Fedrowitz, 2012). For example, 'Place-based anti-speculation housing policies' under the *2016-2025 Barcelona Right to Housing Plan* in Spain showed the scope for the local state to support initiatives that address challenges thrown up by financialisation and land supplication (Ajuntament de Barcelona, 2016). These policies included securing sites for housing cooperatives and granting long leases to self-organised groups that qualify for affordable housing (ibid.).

In China, the bottom-up urban grassroots-led collaborative housing model is argued to be a supplement for the development of the real estate market and to encourage lower house prices and enable more people to buy their own homes (Wang, 2014; Wu, 2007). The role of private real estate developers and cross-subsidies in delivering affordable housing were good illustrations of how housing welfare had retreated and reflected the relationship

between neoliberalism and state-owned land in China (Wu, 2010). During the urbanisation reforms, population flows led to problems amongst the public related to intensive concern about the construction and consumption of houses built on rural collective land (Wu, 2010; 2016; Tang, 2015; Song, 2015; Wu et al., 2013; Liu et al., 2010; Wang et al., 2009; Zhang et al., 2003). The idea of 'self-help housing' was used to define the phenomenon of housing people without local village hukou ('户口') in rural areas, which translated to 'small property housing' ('小产权房') (Lai et al., 2017; Liu et al., 2012; Wang et al., 2009), 'houses with limited property rights' (China Daily, 2013), and 'minor property housing' (Song, 2015). This thesis used 'small property housing' (SPH), given its extensive use. 'Hukou' ('户口') means the local residential account and functions as a local welfare right. In China, a local hukou is a condition for people to buy an urban commercial housing unit and a condition for villagers to use local village collective land. The phenomenon of urban low-to-middle income people living in urban villages rather than policy-orientated housing and communities has also been highlighted in many studies (Lai et al., 2017; Song, 2015; Wu et al., 2013; Liu et al., 2010; Wang et al., 2009; Zhang et al., 2003). These results highlight urban households' responsibilities for addressing affordable housing needs. Recent English reports and news stories have illustrated new features of collective living and collective architecture in Chinese urban and rural areas (https://architizer.com/blog/inspiration/collections/collective-housing-in-china/, Accessed: 12 June 2019; https://www.scmp.com/lifestyle/travel-leisure/article/2157742/chinese-villagers-nostalgia-communal-living-sparks-revamp, Accessed: 16 May 2019). However, there has been a little specific examination of collaborative housing (Zou et al., 2019; Wu, 2016; Liang, 2014; Silverstein, 2006).

2.4 Enactment of collaborative housing

2.4.1 Provision capabilities and approaches of practitioners

(1) Civil society organisations

Land and financial resources are two crucial factors in any form of housing construction; collaborative housing is no exception. High land prices are a relatively common issue around the world. The capabilities of civil society organisations to access resources, particularly land and finance, were reported to be barriers to delivering housing and associated services (Lang and Stoeger, 2018; Field and Layard, 2017; Tummers, 2016; Mullins and Moore, 2018; Lang et al., 2018; Crabtree et al., 2013; Davis, 2010a; 2012; 2017). Citizens' different levels of capabilities caused different types of development strategies of affordable housing provision in the community/family sector (Lang and Mullins, 2015). For example, in English housing-user-based cohousing projects, practitioners were usually those on higher-incomes and buying housing units in the communities, which indicated that they were often very capable, whether because of finance or leadership skills, to deliver housing projects. These cohousing projects were sometimes defined as partly social or affordable housing and therefore eligible to secure rental via public authorities. However, this could be problematic (Lang and Mullins, 2015; Confederation of Cooperative Housing, 2009). For the relatively long-term and large-scale housing cooperatives, it mainly focused on lower-income people and access conditions were strict in many cooperatives in England (Lang and Mullins, 2015). The idea of 'top-down meets bottom-up' was used to establish cooperative housing in the UK (Cooperative Councils Innovation Network, 2018). This was exemplified in the case of

Redditch Borough Council in the Midlands and Carmarthenshire County Council in Wales, who selected local HAs to deliver affordable housing units and then recruited and trained housing users to manage properties and communities (ibid).

So, in civil societies, creating strategic relationships with existing housing providers and organising campaigns were found to be the two most important approaches used to access land properties in an international context (Moore, 2018; Fitzpatrick, 2018; Engelsman et al., 2018; Bunce, 2016; Field, 2015; Thompson, 2015; Moore and Mullins, 2013). Community leadership, social and cultural skills and democracy played essential roles in making it come to life (Mullins and Moore, 2018; Lang et al., 2018; Jarvis, 2015a). Few investigations showed that individuals contributed to land and financial resources for organising collaborative housing practices (Gruber and Lang, 2018; Thompson, 2015).

While the CLT model had a particular role in addressing the financialisation of land and housing by enabling them to be 'de-commodified' over the long term (Hackett et al., 2019; Lowe and Thaden, 2016; Davis, 2015), there were other important aspects. The membership (£1 per share) model in CLTs resulted in a large number of local participants (Davis, 2015). This shareholder identity indicates that participants were interested in the collaborative housing model and land governance but might not have been urgently in need of housing themselves. Community share issues and crowdfunding can extend this principle so that those interested in supporting the model can enable it to be realised in a material way (Ward, 2014; Interreg North-West Europe, 2017;

https://www.haringey.gov.uk/sites/haringeygovuk/files/hp_april-may_2019.pdf, Accessed: 16 August 2019; Liu et al., 2017; Housing Europe, 2019).

Chinese rural settings, such as collective land, autonomy and collective living, have distinct elements and features of collaborative forms of housing (Wang and Wang, 2014; Wang et al., 2009; Li, 2008). Drawing on concepts of government-domination and self-help housing, Song (2015) explored the coexistence of three housing strategies in a suburb of Ning village, Ningxia province, China, including 'illegal self-built housing, collective-endorsed housing and urban relocation housing'. The first and third models referred to small property housing (SPH) and government-led housing redevelopment. The second model was driven by the Ning villagers' desire to protect their own interests in defence of village land being requisitioned by the government. The strong leadership in Ning Village was the critical factor that encouraged the government to agree to the creation of a collective form of housing co-operation (ibid.). This did not happen in other villages due to their weakness in defending their local interests (ibid.). The strong leadership of the village committee highlights the role of the individual entrepreneurship (given the large number of people involved in the rural system of representative) (Song, 2015; Wang and Wang, 2014; Wu et al., 2013). Different interests and governance capabilities of parties caused an ambiguous formal-informal boundary of property rights for urban and rural citizens on the state-owned land (Song, 2015; Wu et al., 2013). The type of self-organised housing development and urbanisation brought significant social and economic transformations and enabled villagers to enjoy a modern lifestyle and retain their privileges (Wang and Wang, 2014; Wang et al., 2009; Ma and Fan, 1994).

(2) Roles of external stakeholders

The support and participation of external stakeholders affect the growth of the sector (Lang et al., 2018; Moore, 2018; Mullins and Moore, 2018; Lang and Stoeger, 2018). In the Global North, such as in France, the Netherlands, Germany, Austria and the UK, local authorities may sometimes promote this sector development, such as the transfer of public land and the reservation of land under social housing mechanisms (Gruber and Lang, 2018; Lang et al., 2018). In England, such practices have been promoted by the Cooperative Councils Innovation Network (https://www.councils.coop/community-led-housing/, Accessed: 20 June 2018). Asset transfer from the government (or the use of public land) was one of the crucial factors behind the different outcomes in real projects (Mullins, 2018; Lang and Stoeger, 2018; Bunce, 2016; Field, 2015; Thompson, 2015). One study conducted by Lang and Stoeger (2018) showed how, in Vienna, a positive relationship between land supply institutions, subsidies and regulations and the development of collaborative housing had been achieved using 'developer competitions'. According to Fromm's (2012) investigation, practical projects were developed by both for-profit and non-profit housing developers (two out of five case studies were initiated by profit providers).

Given the different state-owned land system, in China, the bottom-up urban grassroots-led collaborative housing projects were required to be organised in the market mechanism (Liu et al., 2017; Wang, 2014; Wu, 2007). In comparison to the Global North, such as England and Netherlands, the third sector and even civil society organisations in

delivering housing and related services were few and undeveloped regardless of the special case after natural disasters (Lu et al., 2018; Lu and Xu, 2015; Wang, 2014; Wu, 2007; Lu, 2008; Wong and Jun, 2006; Miao, Song, Cheng and Song, 1997; Mullins, 2006; Mullins et al., 2012; Nicholls and Teasdale, 2017). So, there were three main housing development patterns used to secure the right to use land for urban housing (Wu, 2007): (1) self-organised land purchases, (2) partnering with a real estate company to buy land, and (3) self-organised property purchases (Appendix 8).

Previous research into the financing of collaborative housing highlights multiple sources and investors, such as the national/local government, the private sector and not-for-profit and charitable organisations, which is also seen in a concrete project (Fromm, 2012; Gruber and Lang, 2018). In an international context, diverse financial sources and approaches, such as loan matching services and mortgages, have emerged in recent years (Archer et al., 2019). Regarding the government, Hamburg, for example, encouraged future cohousing users to contribute in order to reduce building costs (Droste, 2015). Financial support from the market was relatively limited (Mullins and Moore, 2018; Crabtree et al., 2012). In England, apart from public asset transfer, alternative finances are sought from the third sector (Archer et al., 2019; Moore et al., 2018). For example, most early CLTs developed in rural areas in the early 2000s, which was one of the main reasons that the National CLT Network launched the Seedcorn Grant Fund (£10,000 for each urban CLT group) for urban projects. A total of twenty urban CLTs projects had been piloted at the time of the investigation, in which about seventy-two homes were completed by around eight of the sixteen respondents of urban CLTs who received the funding, according to the Urban CLT Project Evaluation (Moore et al., 2018). Apart from

the support of professionals, such as architects, social investors and social entrepreneurs, knowledge support can facilitate a culture of mutual help and relationship and encourage constant interaction, reinforcement and communication, which are important for governing collaborative housing in civil societies (Mullins and Moore, 2018; Lang et al., 2018; Fromm, 2012; Fitzpatrick, 2018).

2.4.2 Collaborative principles

(1) Within civil society

Principles associated with international co-operation, such as solidarity and democracy, seem to come up against challenges in modern collaborative housing practices and communities (Sørvoll and Bengtsson, 2018; Moore and Mckee, 2012; Jarvis, 2015a). Existing literature has highlighted the new features of community participation with citizens from local communities and beyond in acquiring necessary resources for provision in practice regarding the traditional member-based and self-help (including friend and family-based) approaches (Bunce, 2016; Lang and Mullins, 2015; Lang and Novy, 2014; Davis, 2010a). Regarding the CLT model, Lowe and Thaden (2016, p. 624) found three crucial elements involved in engaging with citizens and enabling them to commonly '*share the rights, responsibilities, risks, and rewards of homeownership*': resident betterment, community control of land and asset preservation. Like-minded citizens were reported to the main feature of collaborative housing organisations in civil societies (Lang and Mullins, 2019; Lang et al., 2018).

Given the legal market approach to land and housing, in China, the bottom-up urban grassroots-led collaborative housing model was generally defined as a group of citizens with certain economic capabilities who voluntarily signed an agreement and set up an independent legal entity to operate a non-profit cooperative housing project to construct buildings, and who had committed to working together democratically (Wang, 2014; Wu, 2007).

Building trust is highlighted as one of the elements involved in fostering a common vision among local participants (Paterson and Dayson, 2011; Gray and Galande, 2011; Lang et al., 2018). Interestingly, McKee (2009) found that, in Scotland, adequate public investment, such as for housing conditions and repairs, was the critical factor for tenants to participate, rather than self-assessment, motivation and sufficiency in participation, empowerment and community ownership. Jarvis (2015b) considered the key local organisers and initiators in his analysis of CLHs based in the UK, which drew on secondary data. She proposed the importance of local citizens belonging; but given a lack of empirical evidence, we are left questioning whether this type of local attachment shapes participants. She (2015a; 2015b) analysed citizen participation and motivations and argued for the importance of social-spatial functions in shaping self-organised projects. Attachment to and appropriation of homes were reasons for engaging in this field, particularly over the recent decade (Larsen, 2019; Hackett et al., 2019; Lang et al., 2018, p. 10; Gray and Galande, 2011). These results were useful when examining the ways in which collaborative housing was communicated among local practitioners with differing levels of effort and contributions.

(2) Across sectors

The partnership within and across sectors has succeeded in encouraging the regional, national and even global expansion of collaborative housing, and making material and non-material resources available for more efficient production (Mullins and Moore, 2018; Tummers 2016; Moore, 2018; Czischke, 2018). Having a 'common goal' seems to be an essential basis for any participatory behaviour involving multiple stakeholders, and the case of collaborative housing explored in this thesis is no exception (Olson, 2009; Ostrom, 1990; Davis, 2010a; Foster, 2011; Paterson and Dayson, 2011; Czischke, 2018; Moore, 2018; Wu, 2007; Wang, 2014).

In the American context, Davis, Jacohus and Hickey (2008) analysed the influence of the changing affordable housing policy on city-CLT partnerships designed to develop low-income homeownership. This was concerned with the hypothesis that socio-economic impacts of homeownership on higher-income groups' wealth acquisitions, which could be functional for the low-to-middle income households (Crabtree et al., 2012). Cross-departmental approaches were argued to be useful for facilitating top-down cohousing projects (Schütter, 2010, p. 56; Droste, 2015). For example, Lang et al.'s (2018, p. 15) paper reported that France saw the national and local strategic interests in institutionalising this sector (Ache and Fedrowitz, 2012; Droste, 2015). As mentioned in Chapter 1, my personal observation of the French Le Grand Portail project drove me to think about the motivations of the state after my investigation into the Beijing CSH case. There were three French papers, such as the one by Carriou and D'Orazio (2015), which

provided further details of the collaborative nature of the 'habitat participative' model in France in the literature review of Lang, Carriou and Czischke (2018).

A positive relationship between the shared values of housing providers and their participation was investigated in collaborative housing projects (Czischke, 2018; Moore, 2018). An example was provided by partnerships between local CLTs and HAs in England, which had two main advantages (Moore, 2018). The first advantage was to help CLTs to obtain public funding, which in England was only available to bodies registered as providers by the government body that allocated the funding (ibid.). The second advantage was to help the HAs to secure community support in the delivery of affordable housing projects. This was facilitated by the intermediary role of CLTs and involved local residents (ibid.). A strategic idea was seen in the partner HAs that worked with local CLTs to conduct affordable housing projects and defined them as 'community development enablers' in England (Moore, 2018, p. 97). A tripartite collaboration among collaborative housing users, intermediate organisations and housing providers was also defined as the community self-build model, such as the Giroscope project in Hull, England (https://www.hulldailymail.co.uk/news/hull-east-yorkshire-news/hull-housing-charity-plans-first-1138197, Accessed: 4 May 2019).

2.4.3 Regulations governing housing provision

One significant barrier is presented by existing legal and regulatory systems that fail to recognise these self-organised organisations in an international context (Mullins, 2018;

Mullins and Moore, 2018; Crabtree et al., 2012). Lack of assets makes it difficult for grassroots organisations to seek loans from banks (Lang and Mullins, 2019; Crabtree et al., 2012; Wang, 2014; Wu, 2007). Meanwhile, existing laws and regulations often require people and organisations with particular qualities to lease land for housing projects, which hinders individuals and social organisations' ability to directly acquire land usage rights (Crabtree et al., 2012; Wang, 2014; Wu, 2007).

A key barrier to support from public authorities is the view that collaborative housing is a special interest, whereas public authorities must support the general interest (Thompson, 2015; Bunce, 2016; Jarvis, 2015b; Davis, 2007). Meanwhile, government support mechanisms (such as subsidies, asset transfer and tax incentives) sometimes come with their conditions, which may concern property rights and target housing users, although it is crucial that modern collaborative housing takes place. In France, the Paris Municipal Government financially supported a housing cooperative La Maison des Babayagas, which was specially built for female senior citizens in 2013 (also see another example in Section 1.4.2) (http://www.rfi.fr/en/france/20130305-babayagas-house, Accessed: 12 March 2020). In Germany, North-Rhine Westphalia required the creation of care centres for families and elderly people in cohousing communities in its *Path-Breaking Building Projects* programme (2014–2017) (Droste, 2015). There could be deeper societal barriers. For example, Moore and Mckee (2012, p. 281) mentioned the role played by the feudal land ownership system and socio-economic problems, and discussed the way that they affected the transfer of feudal land to CLT groups in rural Scotland (Satsangi, 2007, p. 40-41).

Partnering with an existing real estate company is one method of overcoming the legal identity of a housing provider, but this has the potential risk of influencing the willingness of the real estate company to collaborate, especially during a period of a rapidly increasing housing price (Moore 2018; Mullins and Moore, 2018; Crabtree et al., 2012; Wang, 2014; Wu, 2007). The unsupportive non-profit organisational environment was found in the CLT model (Davis, 2007). One of the main reasons was that these non-profit sponsors did not strictly follow the rule of tripartite governance, in which CLT leaseholders and representatives from wider areas were not allowed to sit on the boards (ibid.). Furthermore, conflicts between the types of properties and local legal contexts, particularly related to certificates of homeownership, were seen in empirical studies (Larsen, 2019; Crabtree et al., 2012; Wang, 2014; Wu, 2007). For example, the tenure issue and different land ownership models were highlighted in recent Danish cohousing projects (Larsen, 2019). It also had a negative influence on practical outcomes in China (Wu, 2007).

It is argued that planning permissions and regulations are needed to be changed if the sector is to be more fully developed (Tummers, 2017; Droste and Knorr-Siedow, 2012). Fairness and justice in land use have historically been an interesting topic, and can be traced back to Marx's theory of the rent of land since 1844 (Cooper and Rodman, 1990; Foley, 2009; Howard, 1965; Harvey, 2003, 2018; De Janvry and Sadoulet, 2016). Harvey (2003) proposed the idea of the 'right to city' in his analysis of urban land use and exchange value. He described this idea as an 'empty signifier' that '*depends on who gets to fill it with meaning*' (Harvey, 2012, p. (Preface) xv). However, the definitions of 'highest and best use' and 'right to city' remain unclear. It is especially unclear how they

are materialised, enacted and implemented, in what ways and with which tools. When it comes to land and house prices, their values depend on land use, which requires us to look at access to land and development. The criteria involved in setting the boundaries around access to land for development for citizens are unsolved:

> *'It is far more difficult to make access complete in the sense of securing the competitiveness of beneficiaries so that they achieve income growth, poverty reduction, and sustainable use*.' (De Janvry and Sadoulet, 2016, p. 4).

This thesis considers the social meanings of successful access to land for collaborative housing and explores what types of common rights exist. It benefits the explorations of specific conditions and criteria involved in making land use efficient to meet the needs of multiple stakeholders in society (Davis, 2010; Hill, 2014; Harvey, 2003; Cooper and Rodman, 1990; Jiang et al., 2016). In China's dual land use systems, urban land lease auctions are the main approaches used to develop non-government-dominated housing projects, although these auctions are argued to be one of the reasons behind the increase in housing prices. However, rural collective land has a positive relationship with self-organised housing and village renewal.

Existing literature highlights the potential for government intervention. However, the criteria required for civil society organisations to obtain credit and to engage in the housing sector is central to legal institutions (Tummers, 2017; Droste, 2015). According to the blockchain, shared economy and platform-based organisational activities mentioned above (Nasarre-Aznar, 2018), it is necessary to consider broad factors and specific conditions by re-arranging production to encourage affordability and innovation

in real collaborative models and approaches. These financial techniques can promote innovative calculations when making financial plans and mean that financial means and tools are efficiently deployed to encourage housing provision (Samuelson and Nordhaus, 2009). This thesis considers the efficient capital structures in producing collaborative housing projects and explores the possibilities of building a self-sustainable sector in civil societies.

2.4.4 Issues of collaborative approaches to affordable housing provision

The lack of effective and sustainable institutional arrangements occurs in the modern collaborative housing practices (Fitzpatrick, 2018; Lowe and Thaden, 2016; Davis, 2015; Jarvis, 2015a; Bunce, 2016; Rowlands, 2012; Lizarralde and Massyn, 2008). For example, Tummers (2015b, p. 64) argued that '*there are often high expectations, both by inhabitants and urban policymakers about the resilience and impact of self-organized housing communities*. While investigating three kinds of cooperative housing in England: Co-partnership Housing, Co-ownership and Common Ownership and Tenant Management, Rowlands (2012, p. 2) found that three common barriers hindering the development of mutual models of housing: '*lack of sustainable finance, coherent support structures to facilitate and sustain societies and sustainable political support*'. Scanlon and Arrigoitia (2015) found that cultural taboos were a financial barrier facing local groups in a London cohousing project. Interestingly, in the Global South, Lizarralde and Massyn (2008, p. 12) investigated three community-based housing projects in South Africa and found that '*the overall performance of low-cost housing projects does not*

depend on community participation'. They also suggested that the mechanism of community participation in housing provision should be carefully considered based on specific contexts.

On the ground, collaborative housing groups incorporate multiple individual and organisational stakeholders from various disciplines and positions, which implies a contentious, uncertain and time-consuming process (Jarvis, 2015a; 2015b; Tummers, 2016; Moore, 2018; Ostrom, 1990; 2015). CLTs, non-profit and non-governmental organisations work in line with the ideals of inclusive and democratic decision-making and self-governance (Bunce, 2016; Davis, 2015). Jarvis (2015a, p. 101) described this horizontal self-governance as the 'creative culture of openness' and said that it was one of the main causes of conflicts and reasons why projects failed to progress at the early stages of their development. Furthermore, 'not-in-my-back-yard' (NIMBY) social activities challenge not only existing policy-orientated housing projects, but also collaborative housing groups (Field and Layard, 2017; Jarvis, 2015b). Activism, campaigns and public disclosure were the terms used to describe both supportive and defensive collaborative housing groups (Moore and McKee, 2012; Jarvis, 2015b; Thompson, 2015; Bunce, 2016; Engelsman et al., 2018).

Reflecting on the analysis above and the research purpose, I am interested in how collaborative housing is an accessible, acceptable and approachable idea for citizens to engage in and to address modern housing issues by exploring in what ways they used their shared rights when governing what they shared. The participation and engagement of housing users and citizens are central elements, particularly regarding the current

development and alignment of different parties, such as facilitators (e.g. governments and housing providers) and people involved in addressing housing needs and demands. The understanding of the collective engagement of individual supporters as an approach to building trust will be useful if we are to improve housing provision and governance performance, particularly efficiency and the diversity of projects in civil society.

2.5 Research gaps and proposed focus for this study

This chapter has attempted to provide an overview of existing knowledge about a varied and rapidly changing field. It has found considerable levels of agreement between writers, including a convergence around the concept of collaborative housing. It has also found much diversity reflecting the different empirical base and philosophical assumptions encountered by analysts in different countries and disciplines. An original feature of the review has been the attempt to integrate what is currently known about collaborative forms in China with the more widely known literature covering Europe, North America and Australia.

Although this chapter highlighted many competing opinions, the core and the most critical issue was the demand and supply of affordable housing to meet modern citizens' housing aspirations and ideas behind existing housing systems and institutions. Increasingly, high house prices and the Global Financial Crisis of 2007-2008 have led citizens to question the dysfunctions of neoliberalism (Murie, 2016; 2017; Hodkinson, Watt and Mooney, 2013). More people are excluded from affordable housing by financialisation and state privatisation and social sectors and have become potential

supporters of alternative models, such as CLTs, which seek 'affordability in perpetuity' by moving housing from the market to the commons. Collaborative housing is a growing housing imperative required to meet the needs of extensive and diverse contemporary lifestyles. Different kinds of collaborative housing models brought positive impacts on local housing provision and had unique advantages in addressing diverse housing needs and associated issues (Lang et al., 2018; Heywood, 2016; Gooding, 2013; Moore and Mullins, 2013, Hudson, 2019).

Furthermore, the analysis in this chapter also shows a general shift from state to market and a smaller trend towards self-organised collective and individual responses to the gaps that have arisen in access to diverse forms of affordable housing in modern societies. England and China showed similar results when stimulating new forms of collaboration and developing affordable housing for families and communities under the neoliberal economic governance, which is further analysed in Chapter 4.

Collaborative housing practices are sporadic and, globally, small in scale in an international context. Two features of the housing sector naturally affected the various collaborative housing models and performance of civil societies: (1) the relatively long-term development cycle, ranging from planning, design, construction, consumption, management and governance and (2) professionalisation, which required a wide range of resources, knowledge and skills. Resources for housing production, particularly land and finance, were the main factors affecting the relationship between time and collaboration among multiple participants and stakeholders, regardless of their impact and principles. Public authorities faced a conflict between getting the best price and supporting

collaborative housing usage; they needed social arguments to justify the latter (see the London CLT case in Section 4.4) (Thompson, 2015; Bunce, 2016; Jarvis, 2015b; Davis, 2007). There was also a need to engage professional actors who might not be used to working with self-organised groups (Mullins and Moore, 2018; Lang et al., 2018; Tummers, 2016). One way to do this was by developing new professional niches for professionals to become used to working with collaborative groups, particularly architects, social investors and social entrepreneurs (ibid.).

The identity of collaborative housing in modern societies, such as 'non-mainstream and even antithetical products', is unclear, especially under the trend of neoliberal economic governance. It is necessary to explore why not all housing organisations and sectors were willing to engage in this field, even if there were opponents, and why transformation to a collaborative housing governance culture was slow to materialise. Empirical investigations in England and China helped to understand how collaborative forms of housing were enacted successfully, in particular the role of practitioners in the access to, use, and management of land and finance resources, and share the benefits from the land and project. More importantly, I look at collaborative forms of housing governance as an alternative that transcends both state and market solutions to achieve changing housing aspirations and ideas.

My thesis aims to build on this knowledge and deepen our understanding of this new field in China. Thus, four significant research gaps are highlighted in the literature, and are investigated in the thesis (Lang et al., 2018; Mullins and Moore, 2018; Tummers, 2016; Moore and McKee, 2012).

(1) To explore the relationship between practitioners' intentionality and collaborative housing as an idea;

(2) To investigate the collaboration between state, market and civil society stakeholders in providing housing services to manage modern housing challenges;

(3) To explore the role of the public, such as participants and housing users, in collaborative housing;

(4) To understand the relationship between collaborative housing and housing welfare historically.

The approach used to investigate these critical issues will be to undertake multiple case analyses to explore cross-cultural dimensions by focusing on the actors involved in each case (Poynton and Lee, 2000; Sekaran, 1983):

(1) who the practitioners and stakeholders are;

(2) how they learn about collaborative housing in the first place (in particular, why they demand it, work for it or produce it from something else);

(3) why these practitioners decide to engage with collaborative housing and at what levels of ideas, histories, policies and practices;

(4) what they do to enact this idea and work towards affordable housing provision, particularly access to land and finance.

This approach aims to advance knowledge on the collaborative possibilities and contexts among citizens, particularly collaborative housing users, in developing alternative collaborative solutions for affordable housing provision in modern societies.

CHAPTER 3: ABDUCTIVE RESEARCH IN CRITICAL REALISM

3.1 Introduction

The start of the chapter briefly describes the research process used. It shows the integration of the six stages of my abductive research strategy based on the knowledge I gained prior to the PhD study. It highlights the method used to understand collaborative approaches to affordable housing provision in modern societies and to reflect on the changing images between countries and the complex relationships between the state, market and civil society. This is followed by six sections:

(1) Initial investigations;

(2) A discussion on how critical realism shaped the final stages of the thesis;

(3) A description of the multiple case studies, including the data collection and data analysis techniques used;

(4) The expanded theoretical underpinning of my research design and a discussion on how the four stages of theorisation matched to the various stages of the data collection process;

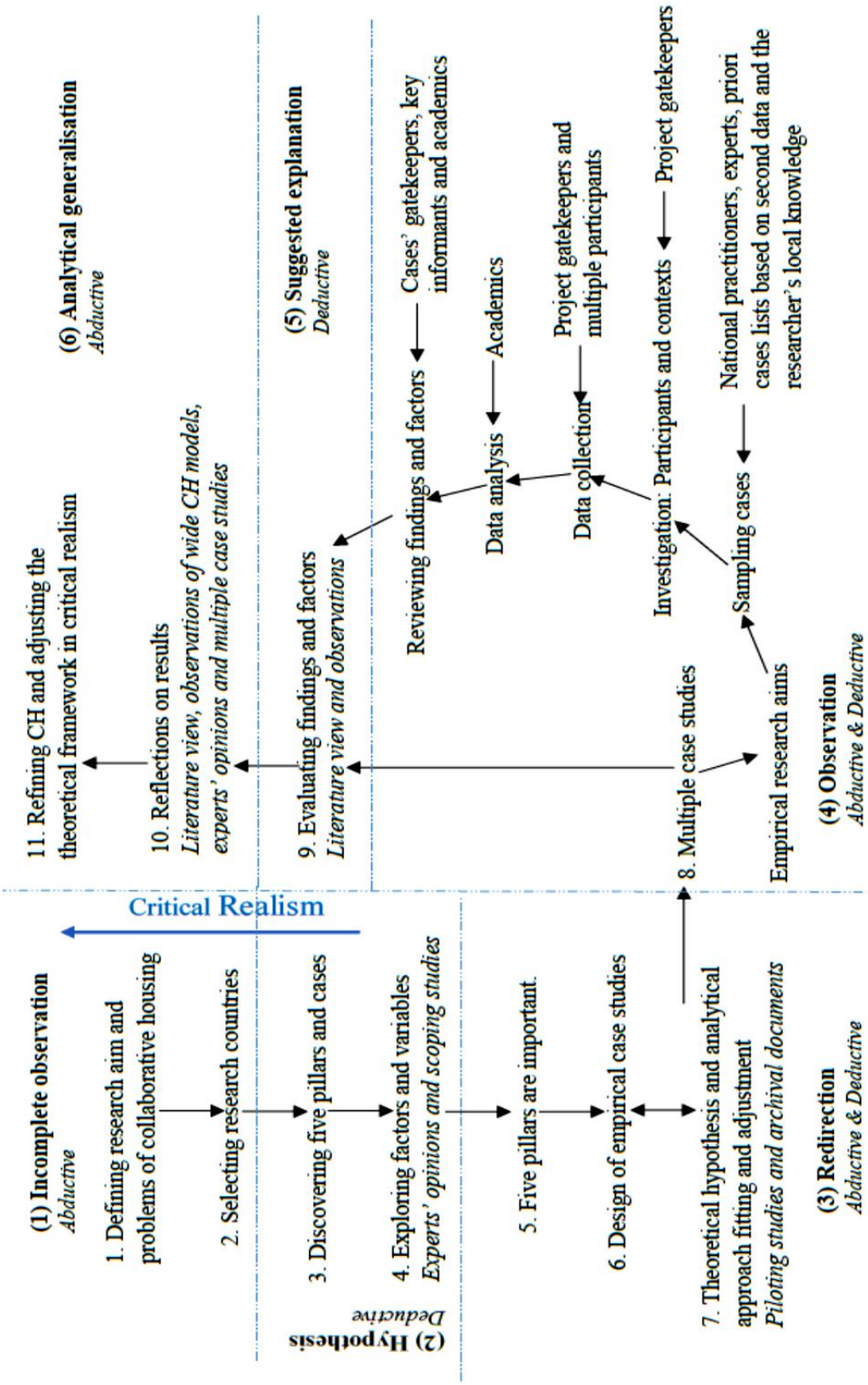
(5) Ethical considerations;

(6) Limitations (including personal critical reflexive practices).

In different disciplines, the theory indicated different things. In my case, in social policy, it referred to 'how we design our services' in society. So, the in-depth analysis and explorations of collaborative housing were crucial and required me to understand independent institutional housing and related systems and complex social structures that affected our behaviours to some extent. This thesis was an abductive exploratory study using mixed data (Figure 3-1). The core of this research was a qualitative, multiple case method in critical realism. It not only aimed to understand the perceptions and experiences of actors involved in these collaborative forms of housing initiatives but also was a descriptive and explanatory investigation. To understand this phenomenon, I described the five pillars and used the data to build explanations of certain aspects of these behaviours and the evolution of collaborative housing initiatives.

In order to explore the social meaning of collaborative housing as an idea, I systematically conducted eleven investigative steps, which were organised according to the six stages of the abductive research strategy. Meanwhile, I recognised that the nuanced evidence collected, analysed and used was complex- where the idea of collaborative housing was harder to embody in a coded survey and where it was essential to acknowledge the nuance of informants' understandings, motivations, behaviours and ideas. This was because the thesis worked in very different contexts. So, I examined all the people of different systems, cultures and attitudes and found that certain similarities actually stand out that were still consistently in the field of collaborative housing. My interview transcriptions were conducted line by line. My approach to translating provided an English translation which read in the English grammatical style, but also tried to maintain the original language structure as close to the Chinese structures as possible.

Figure 3-1: The methodological process



(Source: The author)

Another critical reflexive thought concerned an evaluation of the contribution to knowledge and the theoretical elaboration of collaborative housing and how it reflected on English and Chinese, each of which had different combinations of elements, particularly the five proposed pillars. The purpose of this thesis was not just to understand the nature of and success conditions behind collaborative housing from an academic perspective, but also to communicate insights in a way that was useful to policymakers and practitioners. I engaged with international scholars in this and related fields, and with a number of practitioners, organisations, sectors and stakeholders (such as residents) throughout the research to continually learn, observe and reflect, as below:

(1) From the beginning of the PhD study to the writing-up stage, I followed the dynamics of English CLTs and Chinese urban and rural collaborative housing projects, including four case studies (see around fourteen extensive observations in England, Appendix 9). For example, I attended a community-led housing conference on 'Sustainable Housing for Inclusive and Cohesive Cities', organised by the National CLT Network at City Hall, London, UK in which I shared the result on cultural entrepreneurship in the Actors pillar with one academic in the field of CLT in England who also had international knowledge about collaborative housing in May 2019.

(2) I communicated with academics and practitioners in the collaborative housing field, such as those involved in CLTs and affordable housing provision. I did this at academic and practical seminars and conferences. I also engaged with my supervisors to obtain their ideas and feedback. Meanwhile, I also visited collaborative housing projects organised by academic conferences, such as the European Network of Housing Research, and the international conference on the

Commons, in the UK and European countries, such as the Netherlands, France and Sweden.

Taking early drafts of my literature review (Chapter 2) into account, I undertook an expert survey to test and refine my understanding, particularly with respect to the five pillars, and learnt the Delphi method (Skulmoski et al., 2007; Okoli and Pawlowski, 2004). At the same time, in China, I undertook elite interviews (Aberbach and Rockman, 2002). This was because the inferences gained from the research dynamics, cultural conventions and background of informants affected the preliminary investigations (Stening and Zhang, 2007). These two research methods were well suited given my initial pragmatist ontology and epistemology (Danermark et al., 2005).

3.2 Investigations of experts' opinions

3.2.1 The expert survey in Europe and Australia

The Delphi method for conceptualising collaborative housing used the structured survey to obtain opinions from a panel of experts who understood a topic (Okoli and Pawlowski, 2004) (Appendix 2). In this research, a total of twenty-seven UK, Australian and European academics and participants in the collaborative housing field were selected based on a systematic literature review, my supervisors' networks and my attendance at relevant collaborative-housing practical and academic meetings, such as the European Network of Housing Research Conference, and conferences on collaborative housing in the Netherlands and France. This survey was conducted using a BOS online survey tool (https://www.onlinesurveys.ac.uk), which combined design, deployment and analysis functions. Since BOS software was useful for analysing

numerical data and presenting values in tables, bar charts, pie charts and line graphs, the qualitative results were analysed by myself in order to understand their meaning. Scaled and open-ended questions were designed to explore the extent of consensus and to find out other important factors and rationales of collaborative housing. Seventeen respondents (with a 62% response rate) were drawn from eight countries, including Austria, Australia, England, the Netherlands, France, Germany, Finland and Italy; their answers covered collaborative housing models and initiatives in ten countries, including Austria, Australia, England, the Netherlands, France, Germany, Finland, Australia, Italy, Denmark, Switzerland, Sweden and America.

3.2.2 The expert interviews in China

Elite interviews were used to understand the contextual and theoretical nuance of collaborative housing initiatives in China (Aberbach and Rockman, 2002). A particular benefit was that it enabled me to re-construct Beijing's CSH project by stitching together various first-hand accounts in order to understand the stories behind the complex decisions and actions informing Beijing's CSH policy and project (Tansey, 2007). Chinese professors were selected from top universities engaged in housing, housing welfare, social policy and related studies and practical reforms in China. Meanwhile, three national government officers in the field of housing were interviewed. The answers given during these elite interviews were normally coherent, well organised and based on informants' ways of thinking and logic of analysis (Aberbach and Rockman, 2002). However, I also critically reviewed their trains of thought. Four types of informants were

interviewed, with a total of twelve participants (including the three gatekeepers of the Beijing CSH mentioned in Section 1.3.2) (Appendix 12):

(1) University professors specialising in housing, social policy and welfare;

(2) Different gatekeepers of Beijing's CSH project;

(3) Experts who participated in research on housing cooperatives;

(4) National-level government officials in the field of housing.

3.3 Research design

3.3.1 Critical realist methodology

As explained in Chapter 1.5.4, the thesis questions were refined to explain collaborative housing in modern societies through the investigations and observations in Stages 1-3. The used critical realism advocated a modified form of naturalism, which acknowledged 'not equally fallible knowledge' and ensured the researcher's positionality and self-constraint (Danermark et al., 2005). It encompassed three domains: empirical, actual and real (Danermark et al., 2005; Walsh and Evans, 2014, p. e2).

(1) The phenomena, events and 'knowledge of reality' in the empirical domain were easy to observe and understand.

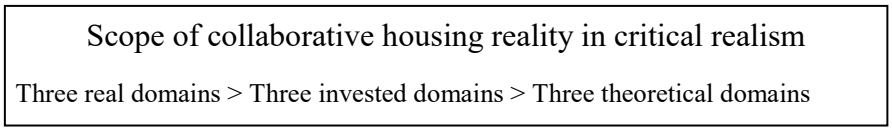
(2) Knowledge from the actual domain considered the social relationships and structures that regulated the empirical domain and which might be covered.

(3) Knowledge from the real domain was the 'generative mechanism' that underpinned these social relationships and structures in the actual realm. These generative mechanisms in the real domain were not fully explanatory, given that

they were causative agents and indicated the tendencies associated with the occurrence and development of events and phenomena in society.

In the empirical domain, external environments influenced social events and activities and caused more possibilities and emerging powers in generating these practices (Walsh and Evans, 2014). The deepest real domain generated the mechanisms that produced the outcome, while the superficial empirical domain faced the open environment (Sorrell, 2018; Walsh and Evans, 2014). In line with these three ontological domains, the scopes of three 'realities of collaborative housing' domains were larger than those of the three investigated domains associated with the selected empirical case studies (Danermark et al., 2005; Archer, 1995) (Figure 3-2).

Figure 3-2: The empirical domains of case studies in critical realism



(Source: The author)

This thesis designed its theoretical purpose of collaborative housing based on critical realism, as a meta-theory, to explore the relationship between structure and agency or enablement and constraint to produce insights into its causal mechanisms (Danermark et al., 2005; Archer, 1995). It paid more considerable attention to the enabling mechanisms concerning the growing significance of the housing sector and the academic sphere associated with the commons, institutions and governance. Meanwhile, it also identified

broader causalities and associated hidden powers that shaping modern collaborative approaches to affordable housing for people in need. The key theoretical question of critical realism was: '*What makes X possible?*' (Danermark et al., 2005, p. 97; Archer, 1995). As highlighted in Chapters 1 and 2, the importance of the individual analytical perception to understanding practitioners' participatory behaviours was used to develop the theoretical question: In what ways do people 'approach' its success (i.e. what made collaborative housing possible)?

The organisation of the empirical data followed critical realism's value-laden axiology; '*what [the thesis is] pursuing to contribute to*' was the solution to presenting scientific knowledge that underpins reality of collaborative forms of housing (Danermark et al., 2005, p. 18). For example, I focused on the theoretical elaboration of collaborative housing with five proposed pillars by examining the different settings of each hypothesised element. Here, I take the Land pillar as an example. The following four questions were asked to explore the similarities and differences in multiple case studies conducted in Stage 4 of the abductive research strategy:

(1) Whether there was a common hypothesised set throughout these three domains;

(2) If it existed, in which ways it affected the collaborative approaches to housing provision;

(3) If not, to what extent were the similarities and differences present within these three domains;

(4) Whether there was any causal mechanism that goes beyond these three domains.

The associated results of the Land pillar were tested in Stage 5. Stage 6 reviewed and reflected on all the results, including emerging factors and causal mechanisms, to inform the suggested theoretical explanations (See Figure 3-3).

3.3.2 The investigation design in Stages 4-6

The research problem was essential in critical realism, which was the common/public land governance underpinning the re-emergence of collaborative housing and affordable housing provision in England and China since the 2000s in this thesis. A qualitative multiple case study strategy was employed to understand the geographical (rural and urban) features of collaborative housing land in the two countries based on the prior investigation (see Appendix 7). It effectively addressed questions around how collaborative housing practices naturally occurred and in what ways practitioners gained ideas given their occasional, sporadic and small-scale traits (Merriam and Tisdell, 2015; Piekkari et al., 2010). Meanwhile, during the fieldwork, a holistic, open-ended and contextual approach was taken to uncover the influence of local socio-economic, cultural and demographic settings on the creation of social meanings, which was consistent with critical realism's ontology (Yin, 2009; 2017; Danermark et al., 2005). In line with this objective, in Stage 4, I selected four cases with two conditions to inductively investigate real-life contexts:

(1) Different combinations of theoretical factors, particularly five pillars;

(2) Collaborative forms for affordable housing provision for people in need.

The two above aspects enabled this thesis to avoid common sampling methods that relied on similar types from within each country to enable comparisons, regardless of external factors, such as access permissions. Meanwhile, the stratified ontological depth required inclusive and comprehensive case information and data, which was also a fundamental precondition when selecting English and Chinese cases.

Two approaches were used to collect triangulated data to verify the results of the multiple case studies:

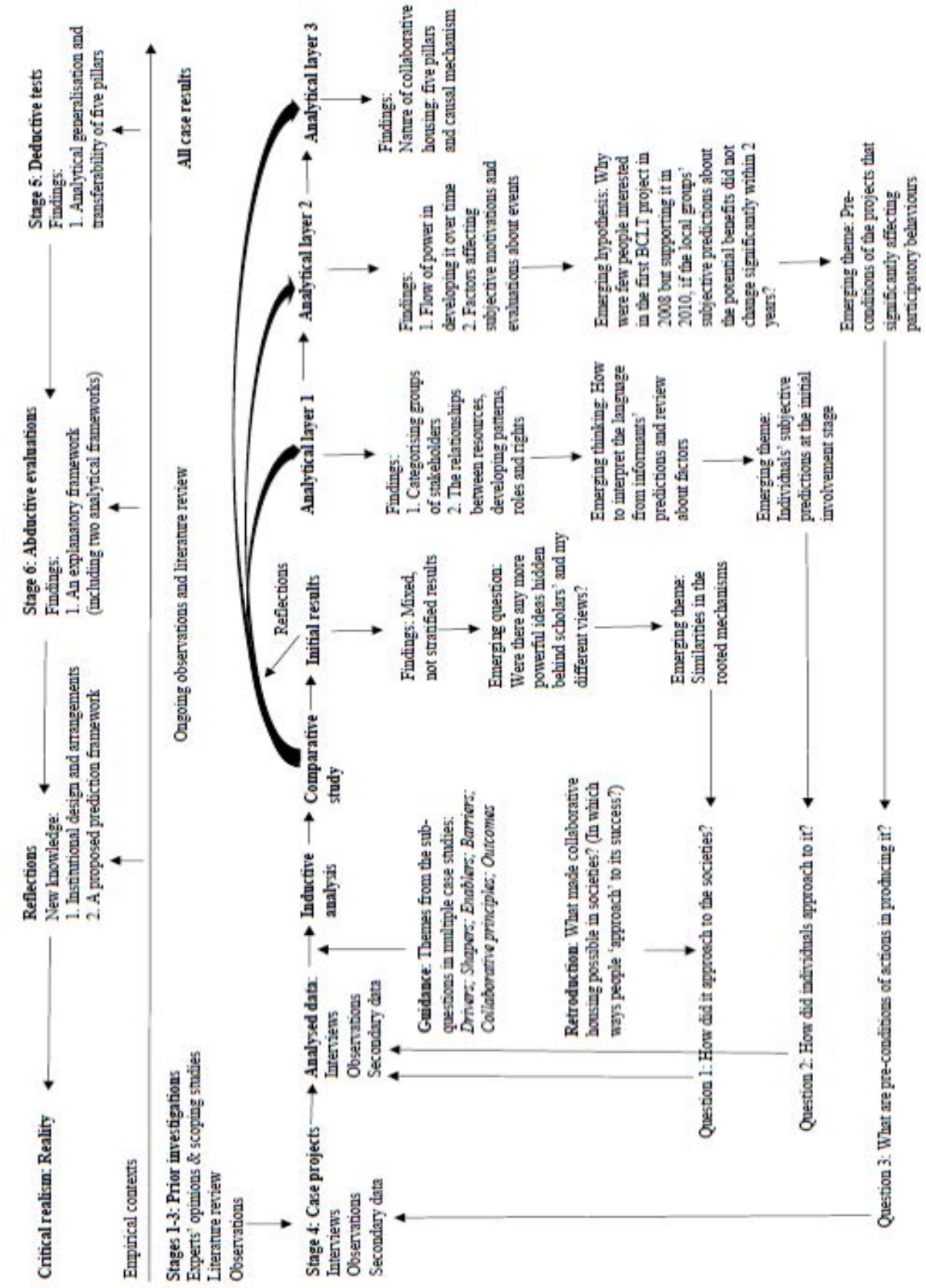
(1) I re-visited the case projects and re-interviewed informants to update, discuss and negotiate the research ideas and findings during and after the data collection (see sample information in Appendix 13). These re-visits helped me to consistently evaluate the case study data analysis (Timmermans and Tavory, 2012).
(2) I learned from key informants' feedback to evaluate the accuracy of the analysis and proposed explanations.

In Stages 5 and 6, as described earlier, my long-term observations and communication with academics and practical collaboration with housing practitioners helped me to gain in-depth knowledge, especially the five-pillar framework of collaborative housing, which was combined theories and the raw materials in line with critical realism and associated three domains (Danermark et al., 2005) (Figure 3-1). This research community determined the prevailing norms, values and characteristics in an international context and helped to discovered various factors in responding to the research questions (Guba and Lincoln, 2005).

3.3.3 The theorising in Stages 4-6

Figure 3-3 shows the details of the theorisation process to analyse the empirical data collected from people who created collaborative housing norms and projects in practice, as well as associated results in each stage. I used retroduction, a back-tracking theorising tool, to re-evaluate the results in this thesis (see the example of the retroductive analysis of five pillars at the multiple case studies in Appendix 15) (Danermark et al., 2005). Retroduction was defined as an inference technique that built abstract transfactual knowledge through reconstructing the conditions and contexts of a concrete empirical event or phenomenon in critical realism (ibid.). It helped to address two possible types of data bias related to the informants' descriptions in this thesis. Firstly, the causal powers of an investigated object of collaborative housing could exist in three (empirical, actual and real) domains. So retroduction was an effective strategy to yield in-depth knowledge from informants' observations. Secondly, I selected four case projects with different analytical settings (See Figure 3-4). Informants' experiences on one factor might bring different interpretations, such as its importance for enacting collaborative housing as an idea. Many scholars, including Corbin and Strauss, acknowledged the importance of theoretical sensitivity when using grounded theory, which was related to substantial data and the relationship between the researcher's experiences with existing theories (Strauss and Corbin, 1990; Charmaz, 2006; Danermark et al., 2005; Hoddy, 2019). This combined analytical strategy (involving retroduction and pre-set data analysis at each stage) achieved a clear understanding of the ways collaborative housing practitioners obtained the ideas, enacted their plans and operated the projects in their local contexts in England and China. Meanwhile, it allowed for the creation of observations and informal communications, which led to productive outcomes for the thesis.

Figure 3-3: The theorising map



(Source: the author)

In Stage 4, I discovered the pre-conditions and fundamental prerequisites at play in the case studies and generated descriptive causal mechanisms of collaborative approaches to affordable housing provision in England and China. In Stages 5 and 6, I postulated and explored alternative mechanisms based on findings from the case studies, and observations about wide collaborative housing models with an international perspective, such as cohousing and self-help housing. I also drew on data from field notes, memos, pictures and archival documents to consider the social meanings of modern collaborative housing and then to conceptualise it. There were two aspects in my final reflections: (1) to re-evaluate the results from the six-stages of the investigation and analysis, (2) to re-consider the broad causal mechanisms that brought collaborative housing into societies since the 2000s.

3.4 Multiple case studies

3.4.1 Sampling cases

The samples were drawn from lists compiled of known urban and rural collaborative housing projects in each country that met the qualifying inclusion criteria. The English case list was easy to compile because of publicly available information about CLTs drawn from information on the National CLT Network website (http://www.communitylandtrusts.org.uk/), regional CLT organisational websites, such as Wessex community land (https://wessexca.co.uk/wessex-clt-project/projects/), and Sussex CLT Umbrella Project (https://www.ruralsussex.org.uk/), as well as online sources using the keywords ‘Community Land Trust’ and ‘England’. A preliminary case list had been compiled as part of a wider sector profile for my master’s thesis (He, 2015).

Chinese cases were identified using a variety of methods (news media, expert knowledge from the elite interviews and literature review). Official and large news agencies, such as the Xinhua News Agency (http://www.xinhuanet.com/) and People News Agency (http://www.people.com.cn/), were useful sources, as were my preliminary literature review and expert interviews, which I described in paragraph 3.2.2. Meanwhile, I also used a range of keywords to search for related information via the National Bureau of Statistics of China (http://www.stats.gov.cn/), official websites on Baidu (https://www.baidu.com/, China's largest search engine), and Google (https://www.google.com).

A longer list of the cases, together with comprehensive information to support the final sampling decisions, was discussed with my supervisors (See the lists of the rural English CLTs and urban Chinese grassroots cooperative projects in Appendices 11 and 12). For example, rather than focusing on those projects at the early planning stage, the emphasis was on selecting projects that had already been completed or were being built, to ensure that the ways in which land affected the project's development and outcomes could be systematically analysed. The sample selection aimed to include different sources of land acquisition, such as government or local government transfers, or from private purchases and private donation. These allowed me to develop a deeper understanding of the role of land across multiple cases. For the Chinese case selection, apart from matching the matrix below, the initiator of the urban project had successfully conducted individual cooperative housing projects twice before. The study of the rural case benefited from my local knowledge of my hometown, which allowed for a more detailed, in-depth analysis (Thomas, 2015; 2017). Its development was not a special case in China; as it reflects

general collaborative forms of housing movements in rural areas and exists in many regions, such as Beijing, Tianjin, Shenzhen, Zhejiang, Guangzhou, Ningxia in China (Lai et al., 2107; Wang and Wang, 2014; Song, 2015; Wang et al., 2009; Li, 2008). And it would have been possible to substitute other cases from the long list that also meet the sample criteria.

Meanwhile, for the investigation, access to the case was also a crucial point, not only for the successful completion of the investigation but also for securing data of adequate quality that aligned with the critical realist ontology. Although there were many possible English cases, given the relatively large number of projects, the final decision to settle on two Wessex CLT projects, developed by Wessex Community Assets, was mainly due to consideration of the different characteristics of the five pillars and organisational forms, which would aid the theory elaboration process underpinning this thesis. Before finalising the sampling of English and Chinese cases, I ensured I had the necessary access and was able to engage in expert consultations, short visits, phone interview, email correspondence and Skype calls.

Furthermore, four specific principles were underpinning the selections of my final sample of cases.

(1) **Purposes of collaborative housing.** The project had to be primarily focused on delivering affordable housing. The housing itself had to be either under construction or completed during the study period (2017). Ideally, some cases would already have residents in occupation. (This was achieved in three of the four cases- in Figure 3-4

we can see that there were no residents in occupation in the Shanghai project in China, which I found during communication with the project initiator on 10 September 2019).

(2) **Land and collaborative housing.** I was interested in the role of land since it significantly and directly affected the success or failure of collaborative housing projects in practice (including cohousing, housing cooperatives and community land trusts). My PhD study focused on the innovative idea of common/public land for affordable housing provision, underpinned by the CLT model. So, I chose cases where the project creators had secured land sources and then built new homes rather than CLT organisations that use empty homes or refurbish existing houses to provide affordable housing.

(3) **Participation of future housing users.** This thesis took the participation of future housing users in the housing design into account as one crucial criterion of collaboration, given its widely acknowledged importance in this field. All four cases had identifiable groups of existing or future residents whose views could be incorporated into fieldwork learning.

(4) **The multiple case studies design.** In line with the rationale behind the multiple case studies design, the underlying logic served to encourage replication. Each case was carefully selected so that it either had similar predicted results (named a 'literal replication') or contrasting predicted results for reasons that were anticipated (named 'theoretical replication') (Yin, 2017). To better understand the roles of the five selected pillars, their diverse characteristics were considered when selecting the sample of cases. To be specific, the criteria are as follows:

   i. Lands secured in different ways;

   ii. Initial development funds from different sources;

iii. The activities of initiators and stakeholders are diverse;

iv. The mix and balance of actors involved in the partnership differs;

v. The ideas of the organisation and the community housing project are distinct.

The decision to limit this depth research stage to four cases reflected the time and access limitations facing a single researcher researching two countries.

Figure 3-4 shows the final matrix of cases and shows two main considerations: (1) securing access and permission; and (2) the importance of collaborative housing projects. Taking access into account, in England I selected the urban Bristol CLT and Wessex Community Assets (as an umbrella organisation) and two small rural CLTs. In China, I selected the urban Shanghai Yongquan Community project and urban Tianjin Jinhe community. These four cases had a good fit, and I was able to secure access, so they seemed appropriate. The twelve-month case study period (October 2017- October 2018) was based on a detailed estimation of case study logistics, understood in terms of the number of interviews, types of actor and required travel arrangements and the possibility of follow up discussion with case study actors to refine findings. For urban cases in two countries, Shanghai and Bristol are two cities with very high housing prices; these two housing projects both began in 2012, and they had reached a similar stage of planning and construction. For the two rural cases, the time required to identify and respond to housing needs was similar. Furthermore, Wessex and Tianjin are located in coastal regions.

Figure 3-4: The matrix of sampling cases in England and China

Cases	China		England		
	Shanghai Hezhu Real Estate Co. Ltd	Tianjin Jinhe	Bristol Community Land Trust	Wessex Community Land Trust Project (WCLT) (Organised by the umbrella organisation Wessex Community Assets)	
				Norton Sub Hamdon CLT	Symene CLT
Project	Shanghai Yongquan Community (SYC)	Tianjin Jinhe Community (TJC)	Bristol Community Land Trust (BCLT)	Norton Sub Hamdon CLT (NCLT)	Symene CLT (SYCL)
Land	Bidding on land from the market	Collective land ownership (land owned by all villagers)	Bristol Council transferred the land for £1.	Bought the land from a local landowner with a deal that the land would be used for the community.	Bought the land from a local landowner with a deal that the land would be used for the community. The landowner was also a board member of the CLT.
Finance (Initial development	Raising funds from members; the initiator's private capital was the largest amount in the total cost of the project.	Loans from the bank and payment advance of the construction company	Funding from Bristol City Council, Homes England and loans from the Resonance company	(Main developing and construction funding from) Homes England	(Main developing and construction funding from Homes England)

Main actors	Local residents who were in housing need and a real estate developer	Local residents, most of whom were in housing need, and authorities	Local residents, including people in housing need and people not in housing need and local authorities	Local residents without housing need	Local residents without housing need
Delivered approaches: (main Partnerships and supports)	Developer-community partnership based housing project (real estate company wanted to provide housing that benefits the local area in perpetuity)	Extension of community-based housing project (although the construction group played an essential role in the project, its involvement was just a business action to provide building and financing support)	City council - community partnership based housing project (city council organised the public meeting to think about the possibility of community land trusts in addressing housing issues. It accessed community-led housing expertise to launch the initiative)	Intermediate organisation supported group led housing project (Wessex CLT supported local parish council to partner with a registered housing provider (Yarlington Housing Group)	Intermediate organisation supported group led housing project (Wessex CLT supported local parish council to partner with a registered housing provider (Hastoe Housing Group)
Common aim	Providing cheap and affordable housing in a hot housing market	Addressing rural housing shortage and improving villagers' housing conditions	Providing affordable housing to address housing issues	Improving community resilience (maintaining only one local shop) and providing affordable housing to address housing issues	Providing affordable housing to address housing issues
Location	Lingang, Shanghai (urban area)	Dongli, Tianjin (rural area)	Bristol (urban area)	North Sub Hamdon (rural area)	Bridport (rural area)

Developing time of the housing project	2012 (Housing is being built)	Two-phase housing construction in 2000 and 2006	2011 (The first Bristol CLT project in 2008 were partly related to failure to secure support from citizens)	2013 (The housing need survey was conducted in 2005)	2014 (The housing need survey was conducted in 2008)
Development model	Grassroots-led (bottom-up)	Village-based (bottom-up)	Developer-community partnership (with the government support)	An umbrella CLT organisation organised The Wessex CLT project. It was developed by Wessex Community Assets (WCA) in 2010. WCA worked on the CLT idea since its establishment in 2004 (Ward, 2014)	

(Source: The author)

3.4.2 Research instruments

I used semi-structured interviews to develop in-depth accounts of the experience and opinions of multiple stakeholders, including a variety of key gatekeepers, residential participants and partners in the two countries (Saunders et al., 2016). The interview guides, questions and associated probes were tailored based on these different roles and focused on individual, economic and social analytical perspectives, as explained in Chapter 1 (p. 42). The three main themes included: (1) motivations and experiences; (2) opinions about the selected collaborative forms of housing and associated projects; and (3) housing, welfare and policy. These reflected the themes identified as being important in the literature review and expert surveys (see Chapter 2). During the interview process, I also carefully listened to interviewees' opinions and interpretations about their

participatory behaviours and practices and followed up their answers to get a real picture of the social meanings of collaborative forms of housing provisions in their respective areas. Open-ended questions were also provided to allow interviewees the chance to identify and develop important research themes without too much prompting. Open questions included questions such as, '*Are there any things you feel are important that I did not ask you when you engaged with this project*'? This gave me space to obtain a more comprehensive picture and to discover unexpected information and areas that interviewees were interested in (Yin, 2009; 2017). Meanwhile, these interactive and vivid communications helped me to build good relationships to follow up the field trips. Furthermore, the semi-structured interviews were beneficial in allowing informants to have the chance to present their opinions. In my case, I adjusted my language and words used to acquire accurate insights, gain an understanding of the contexts, reduce data bias and improve the validity of the research.

3.4.3 Procedures

Multiple case studies collected qualitative evidence, mostly using (1) interviews with participants, stakeholders and other related personnel; (2) my observations and (3) online and secondary archival documents of English and Chinese cases (Appendix 13). The depth of the primary and secondary data collection in each case was similar, although the approaches used to collect data were, in reality, different, mainly due to the different scales of the projects and the permissions I received to investigate various practices. Meanwhile, data collection was conducted with the collaboration of gatekeepers and

sought to comprehensively understand the development of the projects, in line with the ideas around community-based research and the aim of the researcher and community groups to contribute to new knowledge about community practice (Figure 3-1) (Hills and Mullett, 2000; Minkler, 2005). Two insights are important to mention: (1) the involvement of gatekeepers provided crucial ideas and led to additional interviews, and (2) multiple interactions with them resulted in the refinement of the interview questions before, during and after the field trips. The in-text citations from interviewees are presented alongside the codes and roles that the participant played in each project case, as well as specific interview dates (Figure 3-5) (Appendices 12 and 13).

Figure 3-5: Data collection of multiple case studies

Case: (time)	Interview codes, Roles	Data collection approaches
SYC: 12.2017-01.2018	S1-6, Roles of individuals/organisations,	• Working as an Intern at Shanghai Hezhu Real Estate Co. Ltd with weekday communication. • Documents, online archival documents, observations and (six formal) interviews.
TJC: 02.2018-03.2019	T1-8, Roles of individuals/organisations	• Living at the TJC community with daily communication. • Documents, online archival documents, observations and (eight formal) interviews.
BCLT: 05.2018-09.2018	B1-10, Roles of individuals/organisations	• Observations (attending the BCLT meetings and visiting two BCLT communities). • Documents, online archival documents, observations, (eight formal) interviews.
WCLT: 05.2018-09.2018	WN1-7 (for Norton Sub Hamdon CLT), Role of individuals/organisations	• Observations (visiting two WCLT communities).

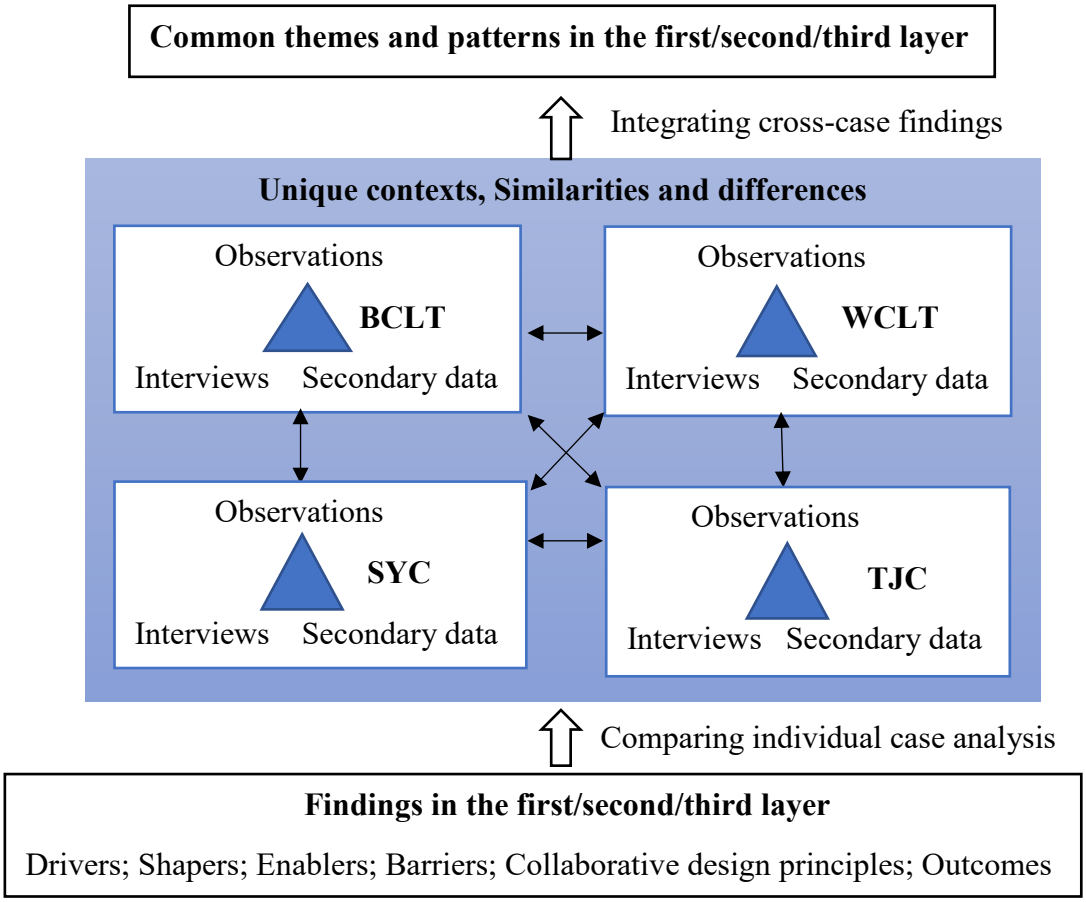
	WS1-8 (for Symene CLT), Role of individuals/organisations	• Documents, online archival documents, observations, (12 formal) interviews, (two) self-completed interviews. • I also planned to volunteer at the community shop, but the fieldwork dates did not allow this.
Interviews from the housing sectors of central governments	C2 (The interview in the two Chinese case studies China) E1 (The interview in the two English case studies), Roles of individuals/organisations	• Interviews (one representative of each country for multiple case studies).

(Source: The author)

3.4.4 Inductive data analysis

Interview notes and digital recordings were transcribed in English and were sent to my supervisors for comments and advice concerning the reliability of the study. During this period, I familiarised myself with data analysis options (Saunders et al., 2016). Four cases were analysed in their original language by using qualitative data analysis software, *NVivo 11*. This analysis aimed to understand different cultural meanings that underpin the vocabularies used and ensure that informants' ideas and experiences were understood precisely. Five sets of questions were nested within the overarching question introduced in Chapter 1 and were pre-coded around key themes to analyse cases. Figure 3-6 shows the inductive data analysis process, which drew upon the grounded theory technique.

Figure 3-6: Internal and cross-case analysis of collaborative housing



(Source: The author)

The inductive analysis began with six broad themes derived from the sub-questions, which focused on drivers, shapers, enablers, barriers, collaborative principles and outcomes. These six themes were very general and did not affect the discovery of new sub-themes that would emerge during the inductive data coding process. I then analysed the cases (SYC, TJC, BCLT and WCLT), based on the data collection process. Each case was first analysed individually and then was compared to the other cases to discover the unique contexts, similarities and differences. For example, after finishing the second individual analysis of the TJC case, the research compared the open and focused codes

from the TJC and SYC case to define the sub-themes under each pre-coded theme. The cross-case analysis was not a linear but a continuous and repetitive process of comparison that sought to develop common themes, categories and patterns. Concerning the transparency of the study, Figure 3-7 is an example used to understand how three classes of local community collaborative housing members forged links and communications with collaborative housing projects. This inductive data analysis was based on the grounded theory technique (Corbin and Strauss, 1990; Charmaz, 2006).

Figure 3-7: The example of inductive data analysis

Analytical steps, approach and results	**Findings**
Step 1: Characterising immediate causes for person X who was living in BCLT housing and communicating with the BCLT **Approach**: Looking for events **Results**: Identify five different levels of initial involvement	1. Learning news of the BCLT launch event from a friend, from others or websites related to community-led housing, self-building housing or self-finished housing. 2. Going to events. 3. Joining in as a member with a £1 membership fee. 4. Becoming an active member (doing voluntary activities). 5. Working to become an inactive member: Stopping the voluntary work for a while when learning that there was no opportunity to get a house.
Step 2: Characterising immediate causes behind person X joining the BCLT **Approach**: Looking for motivations **Results**: Identify four reasons for person X to communicate with the BCLT	1. Living in private rented housing caused person X to feel insecure, mainly due to the uncertainty around future rentals. 2. Wanting to have a home. 3. Wishing to live in a community and know their neighbours. 4. Looking for what could happen in line with the idea of a CLT.

Step 3: Abstraction **Approach**: Looking across these different causes for common elements **Results**: Person X, a local person living in Bristol, predicted personal and public benefits from the participatory behaviours given the time, energy and membership fee: 1. Potential opportunity to have a house 2. Possibility of living in a community 3. Willing to see the potentials of the BCLT in the society	Being a private housing renter facing uncertainty in a lifetime tenancy in Bristol. The most obvious factor is the housing issue. The importance of the community (neighbourhood and social network). Meanwhile, the new affordable housing model and potential positive influences on the society underpinning the concept of CLT is the third driving force.
Step 4: Analytical generalisation of three classes of members that approached the BLCT **Approach**: Look across the BCLT interviews of three classes of members about their approaches, motivations and reasons **Results:** 1. People: citizens (1) shared access to the stake of public affairs and city development and (2) had social networks in Bristol. 2. Themes: housing/potentials	Core members: Social activists without housing needs who were looking for the potentials of CLT in affordable housing provision and broad social impacts, willing to do good for others. Some of them were professionals in community-based projects, such as self-build housing, finance, architecture and law. They were invited by Bristol City Council to attend the initial meeting. Active members: Generally mixed motivations of core members and person X. They might directly or indirectly know of the events through the news, friends and websites, having registered as members by paying a £1 membership fee and engaged in some voluntary activities. However, some of those in housing need withdrew their voluntary activities due to few or non-existent opportunities to obtain housing, or for other reasons. Inactive members: Generally mixed motivations of core and active members to see what could happen under the new CLT model and the having hope of gaining housing. They might directly or indirectly know of the events through the news, friends and websites, and registered as members by paying a £1 membership fee.

Step 5: Connection with the CLT model in affordable housing provision for people in need of housing **Approach**: Look for arguments **Results**: Arguments from different positions of members did not have a specific emphasis on the importance of CLT. However, the predictions of three classes of members are simple: How the CLT could shape the future of housing and society in Bristol.	From the perspective of a core member: '*Well, it is really because it comes from my professional experience of working on community-based capital projects, which I have done quite a lot in my life. I was trained as an architect. Yeah, I have always been interested in the money on the business side, particularly concerning "not for profit" things, so making ordinary people able to solve their own problems. And so, the land trust just seemed like a really good idea. So, I just thought it was a good thing to support*'. (B3, [redacted] Bristol CLT, on 24 July 18). From the perspective of an inactive member (person B7 who was living in the CLT housing [redacted]): *'Actually something like the Community Land Trust model, it actually works in that gap between the people who just would not get social housing but cannot get, cannot buy their own houses. And they are very poorly housed. So that gap is important in England we got between the very vulnerable and the privileged, those in the middle, and they needed some help. And that is the CLT model, I think, it is good for them'*. (B7, BCLT [redacted] resident, on 20 July 2018). From the perspective of an active member who was not living in BCLT housing: *'My motivation was to work in an environment that was making a positive social impact. The housing crisis is on the agenda of everybody. I had to move out of Bristol because I could not afford to live in Bristol, but I was fortunate enough to be able to afford somewhere and move outside of Bristol, but I know a lot of people are not in that position. I, myself, grew up in social housing, so social housing is important to me to ensure that there is still that provision in our country to have affordable housing for people that are not able to afford it normally.'* (B9, Board member of BCLT [redacted], on 08 August 2018).

Step 6: Summaries and reflections **Reflection**: Although the researcher interviewed multiple stakeholders, due to a large number of local community collaborative housing members, it was a challenge to generalise the characteristics of all members. Finding 1 can be integrated as one sub-theme of Finding 2. **Results**: People were willing to engage with the BCLT project by contributing their time, energy and paying a £1 membership fee given the potential positive (either private or public) benefits. Otherwise, the current housing situation and related social contexts would continue or get worse. The concept of community underpinned the CLT model, which was particularly important for people who were attached to Bristol and helped build social relations and networks.	[Analysing events: the involvement of local community collaborative housing members started from their caring about the local development directly or through their social networks. The concept of living in the community was seen in the BCLT case. The concept of attachment to a place is adopted, which refers to the emotional link with a place, which is caused by memories, preferences and social relationships]. Finding 1: People who were attached to Bristol wanted to be better attached to Bristol in the future through the BCLT project and to build social relationships and networks. [Analysing motivations and reasons: Strong feeling of the affordable housing shortage and willing to adopt the new housing model. Although the principles of volunteerism, altruism and self-help were seen in the case, rational choices for joining in the BCLT organisation were also found among a large number of active and inactive members]. Finding 2: People were willing to engage with the BCLT project by contributing time, energy and a £1 membership fee, given the potential positive (either private or public) benefits; otherwise, the current housing and related social contexts would continue or get worse.

Cross-case analysis: **Approach**: Look for two themes in Step 4: people and themes **Results**: The positive externalities of collaborative housing projects, particularly in affordable housing and related social contexts, had causal powers to allow people who shared access to regional affairs and development to find links with collaborative housing, either driven by private or public interest. The participatory behaviours of three classes of local community collaborative housing members were mixed with the principles of the rational choice, self-help and altruism. Collaborative housing was an experiment for them to think about, and even change the future of housing and society, and reflected their differing levels of efforts and predictions about future housing and related social contexts, maintaining the status quo or deteriorating without their participation. It also found that certain people who were attached to the place wanted to be better attached to the place by building new social relationships and networks in the future.	People: Comparing to the larger geographic contexts in two urban cases, two rural cases showed that both local people and people from the outside villages engaged in collaborative housing events. Meanwhile, given the 'hukou' system in China, SYC showed that certain members were originally from other provinces but worked in Shanghai and then obtained their Shanghai hukou (which broadly refers to their citizenship). The TJC case showed that peasants in other villages and urban residents were prepared to live in the TJC community rather than in other similar communities, because their families and friends were there. Although they were not regarded as members due to their limited ability to participate in decision making, they could make their voice heard through family members and friends. Themes: housing, employment, regional development, social networks (families and friends) Findings: In the WCLT, SYC and TJC cases, housing and regional development, such as environment and economy, were two themes for citizens with local links to build links with collaborative housing. For members who were from the outside villages and regions, housing, employment and social networks (families and friends) were three key factors. The concept of attachment to place makes it apparent that people who were from outside the villages and regions knew of the collaborative housing events from families, friends and others who lived there.

(Source: The author)

3.5 Theorisation in critical realism

Figure 3-8 describes the formation of the law-like generative mechanisms underpinning collaborative housing, which made this qualitative case-based study credible and replicable (Danermark et al., 2005; Yin, 2009; Creswell and Creswell, 2017). Stages 4, 5 and 6 were a continued and repeated process to review the results considering the input of theories in Theorising steps 7 and 12.

Figure 3-8: Theorising design

Stages in abductive research strategy	Theorising steps	Theorising tools (reasoning and theories)
Stage 1- Abduction Pre-knowledge and observations	(1) Common/public land and collaborative housing	• Resource dependency theory (Pfeffer and Salancik, 2003) • Hybrid organisational model (Mullins et al., 2016; Billis, 2010). • Comparative housing policy (Doling, 1997)
Stage 2-Deduction Defining elements	(2) Narrowing the theoretical variable associated with the five pillars	• Deduction for the effectiveness of the five pillars
Stage 3-Abduction Designing the ordering framework	(3) Developing an ordering framework	• Analysis based on methodological individualism (Furubotn, and Richter, 2010) • Important references: the logic of collective action (Olson, 2009), resource dependency theory (Pfeffer and Salancik, 2003) and causal explanation (Sayer, 1992)
Stage 4- Induction	(4) Exploring the empirical explanations of five pillars in	• Comparative analysis and ground theory

Assessment of the proposed framework	multiple case studies	
	(5) Developing the multiple case-based development pathways and structures	• Structure analysis in critical realism (Danermark, Ekstrom, and Jakobsen, 2005)
Stage 5- Deduction Research validity	(6) Assessing the empirical explanations of five pillars	• Deduction for the analytical generalisation (historical cases in England and China) • Structural analysis in critical realism (Danermark, Ekstrom and Jakobsen, 2005)
Stage 6-Abduction Structural analytical conceptualisation	(7) Developing theoretical variables associated with the five pillars	• Theories and concepts related to the five pillars
	(8) Developing the analytical development pathways and structures at a national level	• Structural analysis in critical realism (Danermark, Ekstrom and Jakobsen, 2005) • (Multiple-case based) trends associated with policies
	(9) Effective influences	• Deduction for the analytical transferability (Using Howard's garden city communities as an illustrative comparative case study and reviewing international cases, including those in England and China)
	(10) Dealing with wide causalities from Steps 6 and 9 (in England and China) and forming the explanatory framework with two analytical perspectives	• Structure analysis in critical realism (Danermark, Ekstrom and Jakobsen, 2005) • Important references: institutions and organizations (Scott, 2013)

Theory elaboration	(11) Explaining the institutional change associated with the re-emergence of collaborative housing in England and China since the 1970s	• Historical policies since the 1970s • Thesis results • Important references: institutions and economic theory (Furubotn and Richter, 2010); institutions and organisations (Scott, 2013); institutional change (North, 2012); governing the commons (Ostrom, 1990); the new institutional economics (Williamson, 2000)
	(12) (For further research): Discussing the modern social meanings of collaborative housing in the housing sector for the future consideration of institutionalisation and governance	• Reflections on regional development dynamics and trends uncovered in the interviews • Reflections on international (historical, political and policy-based) dynamics in the literature review and from personal observations • Evaluation of the elaborated theory of institutional change associated with collaborative housing in England and China • Important references: placed-based policies (Neumark and Simpson, 2015; Huggins and Thompson, 2015); institutions and economic theory (Furubotn and Richter, 2010), institutions and organisations (Scott, 2013); institutional change (North, 2012); governing the commons (Ostrom, 1990); the new institutional economics (Williamson, 2000)

(Source: The author)

Concerning retroductive reasoning, I adopted Danermark, Ekstrom and Jakobsen's (2005) structure analysis, an analytical tool used in critical realism, to understand '*the system of relations between the positions and practices that agencies reproduce or transform*' in collaborative housing (p. 45-46). This structural analysis has two formal and substantial (internal and external) relations. The former implies a lack of connections

between objects, but they may share common features (such as age and gender) (Figure 3-9). Substantial relations mean connected relations.

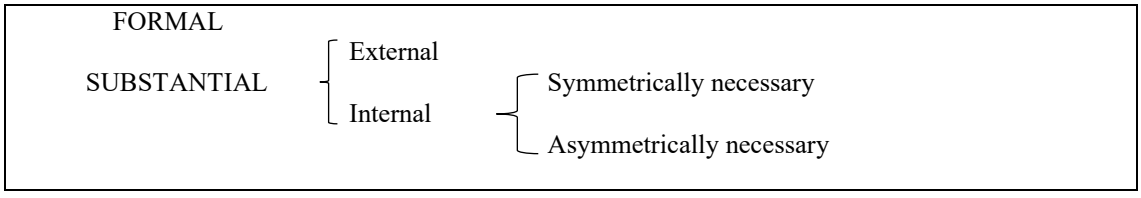
> '*When the relations are internal, the objects condition one another. External relations refer to which of these situations is the case, which may still depend on substantial relations, but these relations are outside the relation between objects*' (Danermark et al., 2005, p. 46).

The purpose of the structural analysis was varied:

- Theorising Step 5 was an intermediate procedure and considered the structure of local community collaborative housing groups, in line with the definition of the 'actors' pillar.
- Theorising Steps 6 and 8 focused on the causal mechanism producing four cases by taking the perspective of several participatory stakeholders (such as governments) and policy contexts into account after the theoretical interpretations offered by the five proposed pillars were examined deductively.
- Theorising Step 10 dealt with a broad range of causal factors.

The evidence of its application was seen in the results in Section 8.5.2, which was derived from Theorising Step 8.

Figure 3-9: Structural analysis



(Source: Danermark, Ekstrom and Jakobsen, 2005, p. 46)

3.6 Ethical considerations

This thesis complies with the University of Birmingham's ethical review procedures. I followed the guidelines and principles outlined in the University of Birmingham's Code of Practice for Research (http://www.as.bham.ac.uk/legislation/docs/COP_Research.pdf) when designing and performing this study. Two ethical approvals were provided by the University (Appendix 1). The first related to the scoping stage of the PhD, which comprised of a Delphi Survey sent to academic experts, a case study in England based on secondary sources and interviews with professional experts, and the first phase scoping field trip in China, where additional interviews were undertaken with academic and professional experts. The second form was submitted for the multiple case studies in England and China, in which interviewees were organisational initiators and key stakeholders, such as staff representatives from the government offices and housing providers. The residents who asked to participate in the interviews were those involved in resident engagement activities within the organisation. Therefore, there were no, or very low, physical and emotional risks involved in taking part in this research. The participant information documents (Appendices 4 and 5) were tailored to ensure that they made sense to residents. This thesis aims to understand the re-emergence of collaborative forms of affordable housing provision for people in need of housing and then provides effective institutional design and arrangements. All survey respondents and interviewees were adults who gave consent to participate in the research. They were fluent in either English or Chinese, which meant that they were able to understand the interview or survey questions. None of the participants was vulnerable, or likely to be harmed by taking part in the research, because they provided accounts of their academic and practical activities.

During the two stages of data collection, all participants were given a Participant Information Sheet (Appendix 4), Consent Form (Appendix 5) and the opportunity to discuss the project with me both verbally and via email. When it came to the surveys, two informed consent questions were provided at the top of the online questionnaire and attached in the recruitment email. When it came to the interviews, letters of consent were given to interviewees, and I also spoke to them verbally to seek further consent. They were reminded that participation was voluntary. So they did not have to answer every question. And they could withdraw their answers within three weeks from the date of their participation if they wished to do so. Although no participants withdrew from the study, all participants were informed that, if they wanted to, all relevant data would be omitted from the research. At all times the voluntary nature of participation was stressed, and full responsibility was taken to ensure informed, voluntary consent.

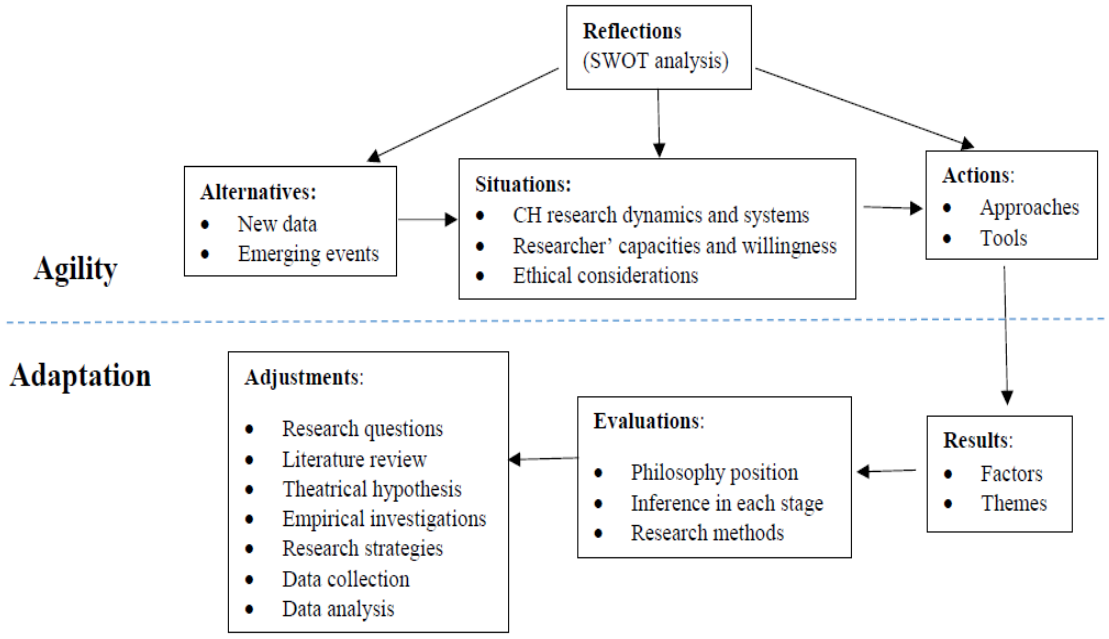
During the four cases, I shared all investigation materials, such as interviewees' information, housing pictures and interview transcripts (including the translated transcripts for the two Chinese cases) with my supervisors. I used Google Maps (https://www.google.com/maps), a globally recognised search engine, to highlight the location of each case. Meanwhile, I had already sought permissions for the two urban cases via email and telephone. For the two rural cases, I was fully aware of the ethical risks of using family contacts and academic networks to gain access. And I have taken every step to avoid harm and bias. The data collected was handled ethically, in a way that abides by the university's Code of Practice for Research and the university's Code of Ethics. Paper-based interview notes and other documents were stored in a lockable filing cabinet inside my home. And originals and copies of the processed electronic files (such

as online Delphi survey questionnaires and interview recording files) were kept on a file encrypted with a password, which were stored on the BEAR DataShare system. This data management system was provided by the University of Birmingham (https://intranet.birmingham.ac.uk/it/teams/infrastructure/research/bear/BEARDataShare/BEARDataShare.aspx). Moreover, a back-up file encrypted with the same password was saved on a USB drive, which was stored at my home. Only I know these passwords. The collected data will be held for ten years as required by the Research Data Management Policy of the University of Birmingham in Social Science (https://intranet.birmingham.ac.uk/as/libraryservices/library/research/rdm/Policies/Research-Data-Management-Policy.aspx).

As a procedural issue, research ethics had an important impact on my research practice during fieldwork (Wiles, 2012). Critical reflexivity acknowledged researchers' pre-formulated ideas, as we are human beings living in and experiencing the world (Gesler and Kearns, 2005; Wiles et al., 2005). It highlighted the critical consideration given to the objective of truth itself in relation to social conditions and the power I possessed as an academic researcher (ibid.). During the three phases of this research, I twice had to critically reflect on the balance of my research focus and the availability of collaborative housing projects as well as associated factors regarding my personal observations regarding land, (collaborative) housing and indeed England and China. In particular, the non-implemented Beijing CSH enabled me to re-think whether the study would be able to continue, and how to continue the study of collaborative housing to provide more effective and impartial investigations. I used the SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis technique to reflect upon the changes in the research

focus (Dyson and O'Brien, 1998). SWOT analysis was a useful technique for understanding individual or organisational internal strengths and weaknesses, and for identifying both the opportunities and threats that exist in the external environment (ibid.). Although SWOT analysis is commonly used in business, its analytical perspectives helped me explore potential investigation opportunities and threats, and more importantly, to consider flexible and efficient time management and research strategies during field trips and observations. Meanwhile, it allowed me to reflect on my personal strengths and weaknesses, particularly related to research capabilities and resources, such as the permission to access to empirical data, the features of the proposed five pillars and the possibility of obtaining relevant answers from informants in England and China. It also allowed me to address the research aim. Figure 3-10 shows the effective and ethical research process used to explore the research questions, create research opportunities and expand the scope of the study to meet the aims of the thesis.

Figure 3-10: Research agility and adaptation in the abductive research strategy



(Source: The author)

3.7 Reflection on research challenges

There were two main challenges associated with the use of multiple case studies in the context of a cross-sectional study. The first was the extent of cultural differences between England and China, the way they influenced the scope of data collection and the implications of interacting with the four cases. Cultural reflectivity was a useful tool to encourage the researcher to critically reflect on their role (Cannella and Lincoln, 2011). Three meaningful reflections arose: (1) the nature of the relationships between informants and me; (2) potential factors affecting those interactions; (3) similarities and differences in the cultural attributes between the two countries (Court and Abbas, 2013). In preparation for the fieldwork, I considered how best to engage with the informants and involve them when conducting interviews or observing them. For example, before the interviews, I visited English and Chinese collaborative housing projects and workplaces first to observe, listen or take part in informal conversations, which enabled me to become more familiar with the research settings and learn more about historical contexts. This information benefited me and helped me develop rapport with interviewees and gain their trust in the interviews that followed.

Secondly, three types of interviews were conducted. These reflected a desire for data equivalence and reflected time and resource constraints: (1) face-to-face interviews; (2) telephone interviews; and (3) self-completed interviews. Diverse data sets such as this are evident in many cross-cultural/national studies (see Saunders et al., 2016; Poynton and Lee, 2000; Van de Vijver et al., 1997; Sekaran, 1983). To obtain high-quality data, for

some informants, I had to use phone interviews first before meeting them in person to clarify their opinions. Furthermore, while studying the Symene CLT, I had a group meeting with the chairperson (the landowner who sold the land to the CLT and who had also become a board member), and another key board member. This was a three-hour meeting. When later requesting a face-to-face interview, the landowner preferred a self-completed interview because of personal commitments. This second self-completed interview supplemented the answers of two interviews. Although it has been argued that there are potential disadvantages associated with using telephone interviews when collecting qualitative data, some researchers have used phone interviews that last an average of one hour to collect narrative accounts (Saunders et al., 2016; Trier-Bieniek, 2012). The adaptation of the telephone interviews was also useful in producing open and full accounts. The anonymity implied in a phone interview helps to lower participants' inhibitions and makes them better able to discuss personal matters (Trier-Bieniek, 2012). Across the four cases, all phone interviews lasted around one hour, resulting in rich sets of qualitative data. They also allowed me to build rapport and understanding. Meanwhile, given my background as an overseas researcher, a phone interview was able to reduce any nerves the interviewees might have.

The strategies mentioned in this section helped manage static investigations. The literature on case study research indicates that around ten participants would be sufficient for providing rich and detailed data (Creswell and Creswell, 2017; Thomas, 2015; Saunders et al., 2016). I also kept in mind the need to keep the number of phone interviews to a minimum and did my best always to make sure they were carried out face to face,

wherever possible. Furthermore, as highlighted above, various forms of participatory observations and documentary analysis were employed to obtain triangulation of data.

3.8 Conclusion

This chapter began with an overview of the research strategy that was affected by my subjectivity and positionality. It outlined the investigation process used to understand the re-emergence of collaborative forms of housing in England and China since the 2000s. It gave due attention to boosting the credibility of the researcher in the eye of participants. Details on the two preliminary investigations followed this. Critical realism was then introduced as a relevant, reliable and valid research strategy that can be used to answer the research questions. I explained its philosophical rationale and its value in research conceptualising collaborative housing. I then explained the multiple case study designs and the sampling approach used, arguing that it was intended to capture a range of factors (such as different sources of land) across the four cases rather than attempting to achieve comparability between cases. I discussed the procedures I followed to collect and analyse appropriate data and answer the central research questions: '*What is collaborative housing and how does it operate in different societal contexts?*'

I also expanded on the theoretical underpinning of my research design and documented the four stages of theorisation, and then discussed how these matched the various data-collection stages. I argued that this made theorising transparent and reliable. The final part of this section elaborated on my critical reflexive practices, ethical considerations

and challenges faced in the investigation process. Chapters 4-6 examine (1) how this idea of collaborative housing was positioned on the ground in the various case study and with a combination of the five different pillars, and (2) how it was enacted and had the advantages in civil societies. These two questions are crucial to consider the potential that this collaborative housing provision model has in reforming affordable housing provision in civil society or even the entire society and encouraging the appropriate allocation of policies and resources, particularly the allocation of land and finance in the two countries.

CHAPTER 4: CASE STUDY POLICY CONTEXT

4.1 Introduction

This chapter sets out the macro-context for the case studies that are presented in Chapters 5-7. It argues that the development of collaborative housing is best understood concerning a series of macro-societal trends that can be described as forms of decentralisation. It sets out the main types of decentralisation found in England and China and their implications for collaborative housing in Sections 4.1-4.4. This is followed by a policy analysis of the more specific policies of relevance to collaborative housing in England and China in Section 4.5. The section ends with a short conclusion summarising the context for case studies and relevant case study design issues.

The analysis includes five common forms of decentralisation. It considers the relevance of each form to the development circumstances of collaborative housing as an alternative to addresses diverse housing issues for low-to-income people, such as affordability, conditions and shortages in England and China (Figure 4-1).

1) Decentralisation within government from the national to regional and city levels.
2) Decentralisation from the state to the market.
3) Decentralisation from the state to the third sector and social enterprises.
4) Decentralisation from the state to civil society collectives.
5) Decentralisation from the state to individuals and families.

All of these types of decentralisation had been found to varying degrees in both England and China. Different aspects in the decentralised governance cause the divergent performance of collaborative forms of housing and associated consequences regarding their national land systems and regulations for housing. Figure 4-1 shows English and Chinese affordable housing and related policies in urban and rural areas and their neoliberal backgrounds. It focuses on empowerment and the investments of public resources (centrally land and finance) into the community/family sectors in the two countries. Collaborative housing emerged as a collective solution to affordable housing provision, but with different development pathways, which emerge due to different national land ownership systems and financial contexts post-2000. This was a legacy of the privatisation of social housing framed in terms of the neoliberal discourse around personal responsibility in the 1970s, as analysed in Section 1.3.2 (Murie, 2016; 2017; Forrest and Murie, 1988; 2014; Wang and Horner, 2012; Wang and Murie, 1998).

Figure 4-1: Policy change in England and China

Process	England	China
Putting resources and empowerment into the community/family sector (Place-based economic strategy since 2010 which is reflected in the results of the thesis)	**Community-led housing** since 2000 *Financial and land tools* • Homes England's affordable housing fund • Public land transfer	**Individual/Village-led housing** since 2000 *Financial and land tool* • Urban: Financial system (including for policy-oriented housing) and land market (land lease auction); • Rural: Rural financial system and the local land acquisition policy (such as 'land usufruct returning' ('留地安置'))

	The involvement opportunities of the community/family sector • The legislation of the CLT (2008) • Localism and the Big Society (since 2010) *Community right to bid* *Community right to challenge* *Neighbourhood planning* *Community right to build* *Community right to reclaim land* • Self-Build and Custom Housebuilding Act (2015, and amended in 2016) • Housing and Planning Act (2016) • The 'Small sites, small builders' programme (launched by Greater London Authority on 9 February 2018) • Community Housing Fund 2016-20 • New national planning policy framework (published 24 July 2018 and updated 19 February 2019)	*Involvement opportunities of the community/family sector* Urban: housing market and system improvement • Notice of the General Office of the State Council on promoting the stable and healthy development of the real estate market (10 January 2010) • Notice on strengthening the relevant issues concerning the supply and supervision of real estate land (10 March 2010) *Financial supervision system improvement* *Registration of estate title system* *Expansion of land supply for housing, especially for the cities with a high price* *Tenants enjoying the same (local welfare) rights as homeowners* *Expanding housing funding for homeowners and tenants* • The first time providing housing funding for old community renovation (issued in Measures for the Central Administration of Special Funds for the Urban-Town Government-subsidized Housing Programmes by Ministry of Finance of the People's Republic of China on 29 August 2019) Rural: rural land and economic reforms since 2010 • The idea of 'accelerating the pace of rural financial reform' ('加快

		农村经济改革') in the Central 2010 rural plan. • The idea of 'taking targeted measures in the alleviation of poverty' ('精准扶贫' by the 18th National Congress of the Communist Party of China in 2012) *The ideas of 'rural housing', 'peasants' housing security' and 'peasants' housing asset rights' were proposed in the policy agenda in 2013* *Right to build rental housing on rural collective constructing land (launched pilot projects in 13 cities to eliminate a housing supply shortage and to explore the approach to improving the income of farmers in rural areas in 2017)* *Right to buy rural collective construction land (in the newly passed amendment of Land Management Law on 29 August 2019)*

(Source: The author, learning from Wang and Horner, 2012; Wang and Murie, 1998; Forrest and Murie, 1988; 2014)

4.2 Analysing English decentralisation contexts

In England, the emerging CLH initiatives were partly related to empowerment and localism and the provision of government funds and a series of policies, such as the Housing Act 2008 and Localism Act 2011 (Moore and Mullins, 2013; Jarvis, 2015b; Field and Layard, 2017). The issued Community Housing Fund (2016-20) was a good

illustration of the decentralisation to civil society collectives, with state funding to support the establishment of community groups through the first-phase pre-development fee (https://www.gov.uk/government/collections/community-housing-fund, Accessed: 25 May 2019). It also unlocked land for community housing through second-phase infrastructure costs to allow for some HAs who supported the further decentralisation of power to citizens and communities and facilitate HAs to engage with CLH projects by reducing their burdens and construction costs (Moore, 2018).

In terms of the CLT model, since 2008 England had invested £4.4 million into 57 projects to cover pre-development and development costs through the CAF Venturesome project, which contributed to 105 completed new affordable housing properties, with a further 419 in the pipeline (Archer et al., 2019). Local authorities also used the neighbourhood planning to deal with affordable housing issues and sometimes finish neighbourhood planning missions using the CLH (Bradley and Sparling, 2017; Field and Layard, 2017; Jarvis, 2015b). The neighbourhood planning policy provided an opportunity for citizens to self-define the neighbourhood area and make their assessments of housing need and then work together to deliver CLH projects (Field and Layard, 2017). This form of the decentralisation from the national to regional and city levels in return supported the decentralisation of power from cities to citizens.

Furthermore, housing was one of the most critical assets of community ownership in the 2011 Localism Act (Archer et al., 2019). These investments and community-based activities showed the government's support for the community sector. The Self-Build and

Custom Housebuilding Act 2015 and Housing and Planning Act 2016 indicated state support for individual-based housing solutions and implied a decentralisation to individuals and families. Although the self-and-custom-build sector was on a small scale and not usually developed using the community self-build approach, an active umbrella organisation, the National Custom and Self-Build Association (https://nacsba.org.uk/), boosted development. Additionally, it facilitates participation and influences the behaviours of future housing users.

Local CLH practitioners either mobilised resources from the umbrella organisation or partnered with local authorities and HAs to obtain support (Lang and Mullins, 2015; Moore, 2018). The CLH development pathway gradually indicated an increasingly horizontal trend towards collaboration, partnerships and networks comprising local organisations, umbrella organisations and sectors. As explained in Section 1.2.3, in the urban case of Granby 4 Streets CLT, the collaboration between two collaborative housing organisations when it came to using and managing affordable properties and land, differed from the form of collaboration that took place between HAs and CLTs (Thompson, 2015; Moore, 2018). This project combined the features of the self-help model with the use of empty housing, and the CLT model, with its stewardship of common ground (Thompson, 2015). Ten empty properties were transferred from Liverpool City Council (for a total cost of £10) after more than two decades of lobbying and campaigning (ibid.). The decentralisation of civil society collectives, coupled with the state-owned asset transfers, created the possibility for mutual support between civil society collectives, which was evidenced by the fast expansion of self-help housing (Moore and Mullins, 2013).

4.3 Analysing Chinese decentralisation contexts

In China, the long history of collectively using state-owned land resources and the improvement of urban and rural land systems, related use rights and financial instructions enabled this sector to develop gradually. The recently issued 'Urban housing funding for the old community renovation', and two 'Right to build on, and buy rural construction land' policies were good illustrations of the deregulation of state-owned land use, particularly in the context of housing. Wang and Murie (2011) suggested that the new phase of China's housing policy should involve a distinctive hybrid approach, rather than a convergence of the familiar market-based, residual or corporatist approaches, which is likely an explanation for the piloted BCSH project. These changes highlighted the individual-based (self-responsibility, capability and freedom of choice) development pathway regarding the relationship between the state and citizens in China. They also indicated the crucial role of the private sector in addressing rural economic issues and promoting regional development.

As explained in Section 1.3.1, few urban citizens invested in the state-owned social housing given the poor national economy after the 'Right to Buy' policy was implemented (Wang and Horner, 2012). So, the central government empowered local governments to design their social housing policies (Zhou and Ronald, 2017; Wang and Horner, 2012). Since 1991, two policies encouraged the decentralisation to the market and individuals. On 31 December 1991, the State Council Housing System Reform Leading Group issued the 'Opinions on Comprehensively Promoting Urban Housing

System Reform' and highlighted the tripartite housing responsibility between 'the state, the collective (working units) and individuals' ('国家、集体、个人') in investing in urban housing construction. On 11 January 2000, Tianjin Municipal State, the city for the Chinese rural case in this thesis, issued its 'Opinions on Further Accelerating the Development of Small Towns in Rural Areas', which also stated the same tripartite investment mechanism in making this plan progress. An interesting observation was that national policy directed at the development of small towns was formally issued on 13 June 2000, which was later than the Tianjin local policy. Meanwhile, this national policy paid more attention to the market mechanisms and called for investments from domestic and international enterprises and individuals using tax collection. In the recent urban contexts, finance and construction work of policy-oriented housing could be conducted by the market sector, such as Beijing, through the decentralised approach to the district government, and by state-owned housing enterprises, such as Chongqing (Zhou and Ronald, 2017).

Urban bottom-up collaborative housing initiatives were related to a series of structural and demographic changes in the state-owned land for housing and related systems in the context of urbanisation reforms that were underpinned by the dual-use-right system of urban and rural land (Wu, 2007). In urban areas, while housing marketisation regulated the use of state-owned land and sought to improve the land property right system, fiscal decentralisation enabled local authorities to depend on land revenues (Lin and Ho, 2005; Wu, 2010). Urban land auctions were key barriers facing local citizens seeking to engage with collaborative housing due to the contradiction between the relatively weak civil society and market-orientated housing development. However, there had been a recent

small-scale trend towards collaborative models among real estate developers acting as social entrepreneurs to engage with citizens as purchasers in delivering housing projects with a collaborative element (Wu, 2007). There were three complete projects and one under construction out of twenty-five urban collaborative projects, according to desk research conducted by the author (Appendix 12). These collected twenty-five projects were more than those described in the issued paper written by Wang in 2014.

Reviewing urban grassroots collaborative housing contexts (Appendix 12) and social and individual entrepreneurship were essential elements of citizen actions in collaborative housing, in opposition to the financialisation of housing. In Wenzhou case, the existing market association was used as a collaborative housing organisation in 2006 (see its English news: http://french.china.org.cn/english/BAT/189436.htm, Accessed: 10 June 2017). Its land was the rural 'land usufruct returning'('留地安置'), a local land acquisition policy (Bao et al., 2016; Xue et al., 2010; Huang et al., 2000). In this local policy, a certain proportion of requisitioned land zoned for construction was returned to the village to resettle landless villagers and develop the village economy, which was the land source of the TJC case in Section 5.3.4 (ibid.). However, it was not available for use by urban residents. With the government's support and intervention, the Wenzhou project was built as a policy-oriented housing project. So, I did not talk about this case in this thesis. The second success of the Xuchuang case was based on the market mechanism, without government support (Figure 4-2). The third case was one of the case projects, Shanghai Yongquan Community analysed in this thesis.

Figure 4-2: Evidence of the five-pillar framework in China

The Xuchang case, Henan Province, China	
CH pre-conditions	Evidence
Empty land (Land issues and limited-use value of residential housing, which are the results from multiple case analysis in Chapter 7)	The land was brought from the local government given the fact that the original land bidder gave up this piece of land because the local government did not complete the demolition of the original factory area. Meanwhile, this land had a high bidding price, but the only permitted use was building residential housing, without commercial use permissions. This land was near to the Beijing-Guangzhou railway, which further limited its potential commercial values. Therefore, the government later sold it to Mr Yang, the initiator, with the same bidding price, but with certain offers in planning areas and taxes. The real price was about 550,000 Yuan per mu (Mu is a unit of land area in China. One mu is equal to 60 square feet, about 666.67 square meters.).
Cultural entrepreneurship (the result from multiple case analysis in Chapter 7)	As he was based in the educational sector, he recruited local teachers to invest in the project. Meanwhile, he invested in the 30 million Yuan through personal relationships and networks, which was argued as one of the factors affecting the development of collaborative housing in China due to financial issues.
Affordability	In this self-finance collaborative housing model, which had 632 housing units (Appendix X), the average price of the lower high-rises was 2,389 Yuan, far lower than the level of other commercial housing, which fetched 4,000 Yuan in 2011.
Limited benefits	Mr Yang received 7% of the construction fee as a reward.

(Source: http://news.stcn.com/2012/0806/6504576.shtml, Accessed: 25 March 2017.)

Rural collaborative housing in the context of collective land systems shows the role of village-based (including individual) self-reliance and entrepreneurship in enhancing local housing and associated welfare and improving economic sustainable development. The system of personal responsibility in agricultural production and commercialised peasants

in the township and village enterprises are possible causes of the rural marketisation development pathways that have emerged since the 1980s (Unger, 2016; Park and Shen, 2003). The political decentralisation, through the establishment of an election system of village leaders and changes in the usage rights governing the village's collective land, meant the village took responsibility for the village economy and development with less (or indeed without) state support (Zhang et al., 2004). With urbanisation, state land acquisition practices provide an opportunity for village self-build housing through the 'land usufruct returning' plan and village housing requirements (Bao et al., 2016; Xue et al., 2010; Huang et al., 2000). The rural construction of land is a pre-condition of the policy-driven self-help housing project. Rural self-organised housing and urbanisation reforms were usually driven by the market and based on the village's collective assets and social capital, relationships and networks, with limited government involvement (Wang and Wang 2014; Song, 2015). Furthermore, the individual-based ideas of 'rural housing', 'peasants' housing security' ('农民住房保障') and 'peasants' housing asset rights' ('农民住房产权') were officially proposed in the policy agenda in 2013 concerning the rural development of the collective land system.

This analysis suggests that urban and rural collaborative housing contexts share a common development environment. To be specific, decentralisation within the government leads to the decentralisation of power from cities to citizens. And then it creates space for social enterprises, civil society collectives and families (including individuals) to consider and try collaborative solutions for housing. However, the dual-land-use systems bring different operating patterns.

4.4 Analysing two scoping case studies

This section continues with the discussion on the relationship between the state and citizens to explain the nature of government/political supported collaborative forms of affordable housing projects based on the two scoping case studies. Restating the personal observations, the English government legalised and then piloted the concept of CLTs from 2008 and the Chinese (Beijing) government designed and then piloted the CSH model to provide affordable housing from 2014. Figure 4-3 shows the development pathways of the London CLT and Beijing CSH. The success of the London CLT case originated from a local campaign in 2004 and obtained political support from two successive mayors. This showed that the decentralisation of the market had led to the involvement of a property developer, a large HA and the CLT itself. However, this model diluted the advantages that the CLT would have had, if it had been able to own the whole site and internalise cross-subsidies. In general, it seemed difficult to achieve long-term affordability using market partnerships, as the financial logic of the market will tend to dominate the classic CLT model's emphasis on land stewardship and affordability being locked-in for perpetuity (Davis, 2015). The London CLT (St Clements site) never had the chance to reap the full CLT benefits, since it only owned part of the site where the twenty-three low-cost homes sit under the CLT umbrella, while the adjacent social rent and market sale operations were governed by different structures and processes (a large HA and a commercial property developer). The BCSH case reflected the importance of linking collaborative housing as an idea with the state and citizens in order to provide policy-orientated housing for people in need of state-owned land (see the result of 'Economic Comfortable Housing' in Section 1.3.2). It indicated the features of housing

users' freedom of choice to meet modern housing ideas, going beyond the only common goal of affordability.

Figure 4-3: Development pathways of London CLT and Beijing CSH

London CLT (St Clements site)	
Volunteerism and local knowledge and capitals	• Originated from a local campaign in 2004 by Citizens UK that links with local companies' needs to recruit members. • Building on 10 years of policy transfer work on the CLT model.
Politics	• Obtained political support from two successive mayors.
Local knowledge (land and housing) (the findings of local knowledge about empty land and right to city confirm the results from the multiple case analysis in Chapter 7)	• The choice of selecting an ex-psychiatric hospital site at St Clement's was made by LCLT members in 2009. • After this land selection, Citizens UK and LCLT launched the campaign to seek government support. • According to the empirical investigations, Citizens UK engaged with local industries and their employees to foster a high level of citizens' support in line with affordable housing provision for local people in need.
Development pathways (the enactment of the idea of common ground underpinned by small and empty land for many years is based on the accountable collaboration between the state and citizens (supporters, opponents and a wide range of citizens, which confirms the results from multiple case analysis in Chapter 7)	• Conditions imposed by the Greater London Authority when the land to the construction firm, Galliford Try meant that the land was transferred to the community foundation made up of representatives from the CLT, Peabody, and GLA. The community foundation leased the land to LCLT for 250 years, for £1 in 2010. • The CLT was governed by representatives from the LCLT, Peabody Housing Association and local community foundation, and was the freeholder of land and the funder was the construction firm. • Peabody was the collaborative partner of the LCLT in delivering the LCLT project, including raising funds for development and construction.

Beijing CSH- Non-implantation	
National land system-state owned land	• In 2014, Beijing designed and piloted Cooperative Security Housing (‘合作型保障房’) to explore a policy-orientated housing model with a closed exit mechanism based on residents’ co-operation and autonomy.
Politics	• Four sites reserved for BCSH projects were used for Economical Affordable Housing (‘经济适用房’).
Lack of local knowledge (land and housing) (two findings of accountable collaboration and housing users’ rights to the city underpinned by the state-owned land confirm the results from multiple case analysis in Chapter 7)	• Four sites for BCSH were removed. • The government was entirely in charge of the implementation of collaborative housing and individually created collaborative governance principles that were not totally aligned with the local affordable housing users’ collaborative value discipline, particularly related to the democratic discussions around designing and governing current and future housing, community, and associated content. The state-owned land suggests that the state protects citizens’ living rights in China. • BCSH’s investigation showed that future users are concerned about ‘housing tenure’, which further affects their local hukou, welfare and heritage rights, which are based on the housing-tenure system in state-owned land. • This argument was also in line with Chinese experts’ opinions about the common goal of previous urban bottom-up collaborative housing initiatives related to housing tenure.

(Three types of resources cross-checked data for the LCLT project: My empirical investigation of interviewing the representative from Citizens UK that helped the establishment of LCLT and core LCLT members (one was the LCLT housing user and one was a volunteer) on 4 October 2016; Archival documents, such as the case study of London CLT provided by Interreg North-West Europe, www.nweurope.eu/media/4544/case_study_london-clt.pdf (Accessed: 4 February 2019) and the online information provided by the Guardian, https://www.theguardian.com/society/2014/jun/25/community-land-trusts-uk-housing-crisis-east-london-mile-end (Accessed: 16 October 2016) (Source: the author)

4.5 Analysing policies of the multiple case studies

This section clarifies what sorts of policies were seen as having the most critical impact on collaborative housing development. While national policies were relevant, it was often regional or local policies that were seen as most directly relevant from the actors' perspective. As explained in Section 1.2.3, where the different types of commons of collaborative housing were considered, this section mainly addresses the institutional origins of common/public land underpinned by the four case projects.

Regarding the two English case projects, the national policy, the *Housing and Regeneration Act 2008*, the legally defined concept of CLT, was seen as necessary for the enactment of BCLT and WCLT (Moore and McKee, 2012). However, local policies and interpretations were particularly cogent. For example, in the BCLT case, Bristol City Council (BCC) was interested in the concept of CLT and questioned its potential as an affordable housing model, with the reasons:

> *'Well, firstly, I think it is a good thing. I think it is good if communities take more control of their areas and provide housing. Also, I think it does unlock different sites which might not have been available for housing if it was not done by the community. It unlocks innovation and it helps build capacity in communities. So, there is a whole number of reasons why it is a good thing. It can also help build community support for new developments in areas where they may be otherwise would not support it.'*

(B6, cabinet member [redacted] in the Bristol City Council, on 25 July 2019).

Building small-scale HAs was one more reason for BCC to support the BCLT project.

As the community organisation focusing on community resilience (described in Section 5.3.2), WCA set up the Wessex CLT project via the commissioning opportunity provided by the Carnegie UK Trust to conduct the government-led pilot project under the *Housing and Regeneration Act 2008*. During this opportunity, it also secured funding from the Somerset, Devon and Dorset counties' local governments to facilitate local communities with housing needs to establish CLTs. Another two policies, *Government's Big Agenda* and *Community Involvement Policy*, inspired WCA's partnership strategy. In this partnership strategy, a local community CH group legally registered as a CLT was partnered with a local HA to obtain the Homes England's affordable housing funds, and to thereby implementing the CLT project (Moore, 2018). This was also observed in the BCLT case. For example, Symene CLT was set up in 2003 by the Symondsbury Parish Council, but in 2009 it re-opened public meetings and recruited members to carry out the housing project based on the WCA's advice of partnering with a local HA.

Different from the application of the legal CLT concept in the English cases, in China reforms in the urban and rural land for housing and related systems created a climate for the collaborative housing initiatives. The urban SYC project followed the current real estate market mechanism to provide affordable housing to Shanghai citizens in need. The institutional land and finance contexts resisted the development of grassroots

collaborative housing nationally, particularly the dual land ownership systems in China. In the urban housing field, the national policy, Specifications for the Transfer of State-owned Land Use Rights by Bidding, Auction and Listing ('招标拍卖出让国有土地使用权规范') issued on 1 August 2006, limited the source of residential land for housing and the conditions for applicants in non-government sector-led housing projects. Apart from the policy-oriented housing projects and organisations that had previously leased land for housing, all other residential housing projects were developed in the market-oriented real estate system. The SYC project was keen to mention that the government had supervised their housing project, as the SYC [redacted] clarified in an interview.

> '*In 2006, the whole country engaged with the idea of collaborative housing construction. There were also many activities in Shanghai. I also had been inspected by the government. The Bureau of Industry and Commerce and the Housing Bureau checked these activities and organisations in case of illegal issues, particularly in related to raising funding for housing development. I tell you that I am the only one [company] that has not been closed by the government until now. I can tell you that I am encouraged and not prohibited [by the government]'.*
>
> (S1, SYC [redacted], on 04 January 2018).

This argument meant that the SYC case had overcome the fund-raising problems and conflicts with government policies and regulations that had adversely affected many real estate projects. Meanwhile, while the SYC case was independent of government, securing government permission was essential.

The inception of the TJC project was driven by the village land monopoly. Regardless of the village collective ownership system, the government controlled its use rights for residential and industrial purposes in line with the national and local policy contexts. Over the last forty years, very little residential land had been zoned for lease to villagers. This did not meet the housing needs of rapidly growing village populations. These two policies, Tianjin Municipal People's Government's Opinions on Further Accelerating the Development of Small Towns in Rural Areas ('天津市人民政府关于进一步加快农村小城镇发展的意见') (1999) and New Socialist Countryside Construction ('社会主义新农村建设') (2006), provided the opportunities needed. The former policy stated that peasants could build multi-storey residential buildings on rural collective land in an individual village-based approach or take a collective approach among villages with the appropriate planning permission ('农民到镇住宅小区建多层住宅楼、合作建多层住宅楼的, 经依法批准, 可使用集体经济组织农民集体所有的土地'). The later served the purposes of improving peasants' housing conditions and saving rural land, particularly rural residential land for villagers. In this way, self-organised housing projects were conducted to address the village housing shortage issues and provide jobs for local villagers, as described here:

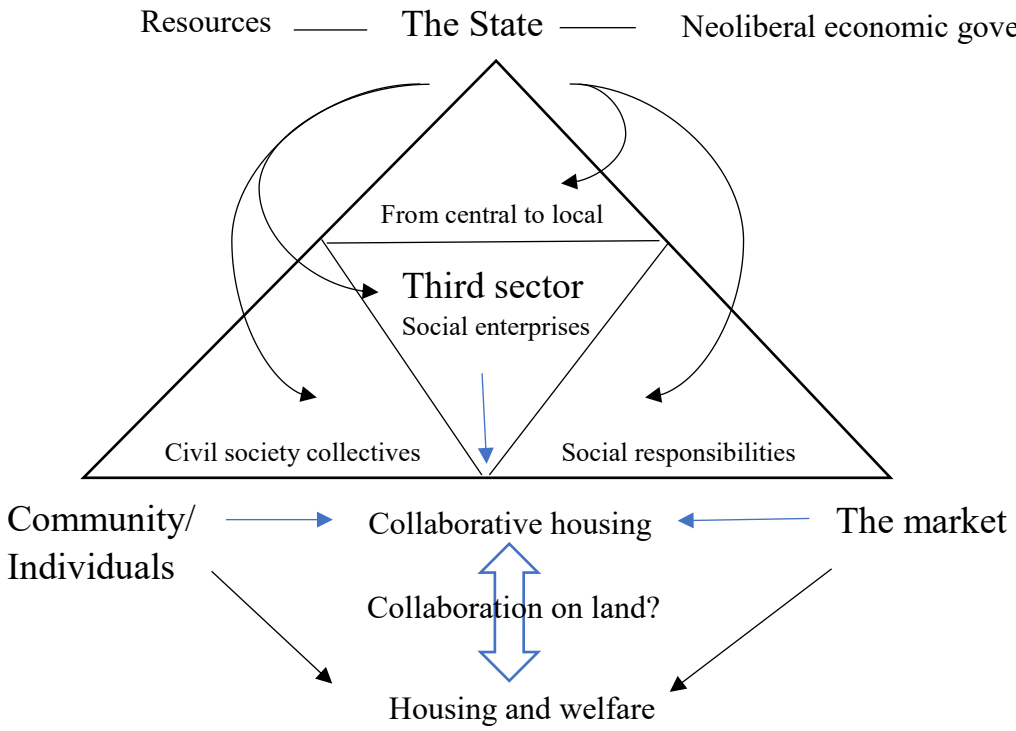
> *'Previously, housing issues were addressed by the exchange of residential land among villagers, which was the internal solution in the village. You [one villager] sold it [one piece of residential land] and I [another villager] bought it. There was no other solution. Later, it had the policies allowing us to build [multi-storey residential buildings], but now policies change'.*
>
> (T1, [redacted] leader [redacted], on 24 January 2018).

Meanwhile, after the economic failure of village collective enterprises in the national planned economy, villagers did not re-engage with agricultural cultivation and production due to soil and water contamination (Unger, 2016; Park and Shen, 2003). The TJC project was also expected to address the village collective economy by providing employment opportunities. Without state support, village autonomy limited the finance sources available either in the village or in the market based on the village's collective assets (Wang and Wang, 2014).

4.6 Conclusion

This chapter provided certain insights into the governance mechanisms of decentralised, collaborative forms of affordable housing provision in civil societies by analysing the policy contexts in England and China. Figure 4-4 shows the relationships between neoliberal policy contexts, the trend towards decentralised governance, and the discovery of individualism (including the relationship between politicians and voters in the context of housing, and actually on the land, analysed in two scoping cases) in the housing sectors in England and China. Under the neoliberal ideology, these two countries saw a gradual decentralisation (to different social actors: to local government/the market/the third sector/community/individuals) and an empowerment drive towards collaborative forms of housing from the year 2000. Since the 2010s, they introduced further shared (common/community/public) rights governing tangible and intangible resources (including land resources) for housing and regional development (distributing the shared rights to citizens in England and expanding the shared rights for urban and rural citizens in China).

Figure 4-4: Decentralised affordable housing provision



(Source: The author; learning from the welfare triangle, Pestoff, 1998)

In the multiple case analysis, the emerging collaborative housing in affordable housing provision was related to the political-related (citizenship and volunteerism) housing contexts in England and the land-related (state-owned land and rural collective land) housing contexts in China. The national (including local) policies and associated changes in land and housing, played important roles in producing four case projects. The two English cases adopted the concept of the CLT model that was enacted in 2008, but paid more attention to the affordable housing production in the pragmatic manners (See the B10's argument of '*commonality of purpose*' in p. 188). Although the two Chinese cases were not developed based on the CLT concept, in the state-owned land system, the state

employed long-term ground leases to regulate urban and rural land use for housing. This affected the occurrence of these two collaborative housing projects.

As analysed in Chapter 2, shared rights in land for affordable housing were related to the context of more significant shifts from the state to markets (commonly known as neoliberalism and financialisation) (Thompson, 2015; Bunce, 2016; Jarvis, 2015b; Davis, 2007). The role of the state requires it to address social housing issues that different levels of local authorities face on the ground. This decentralisation process seems to protect efforts already underway, and lead social changes (Buser, 2013). Meanwhile, Pestoff (2008b) argue the critical micro-level analysis of a multiple stakeholder, firm, cooperative and organisation in understanding the relationship between democracy and the market. Chapters 5-8 analyse to what extent shared rights governing land and housing offer solutions (either by parting with, and supporting social and grassroots organisations in the English context, or empowering the civil societies in both counties) with-and-for stakeholders and sectors who want to engage in addressing social issues, including affordable housing.

CHAPTER 5: COLLABORATION AMONG STAKEHOLDERS

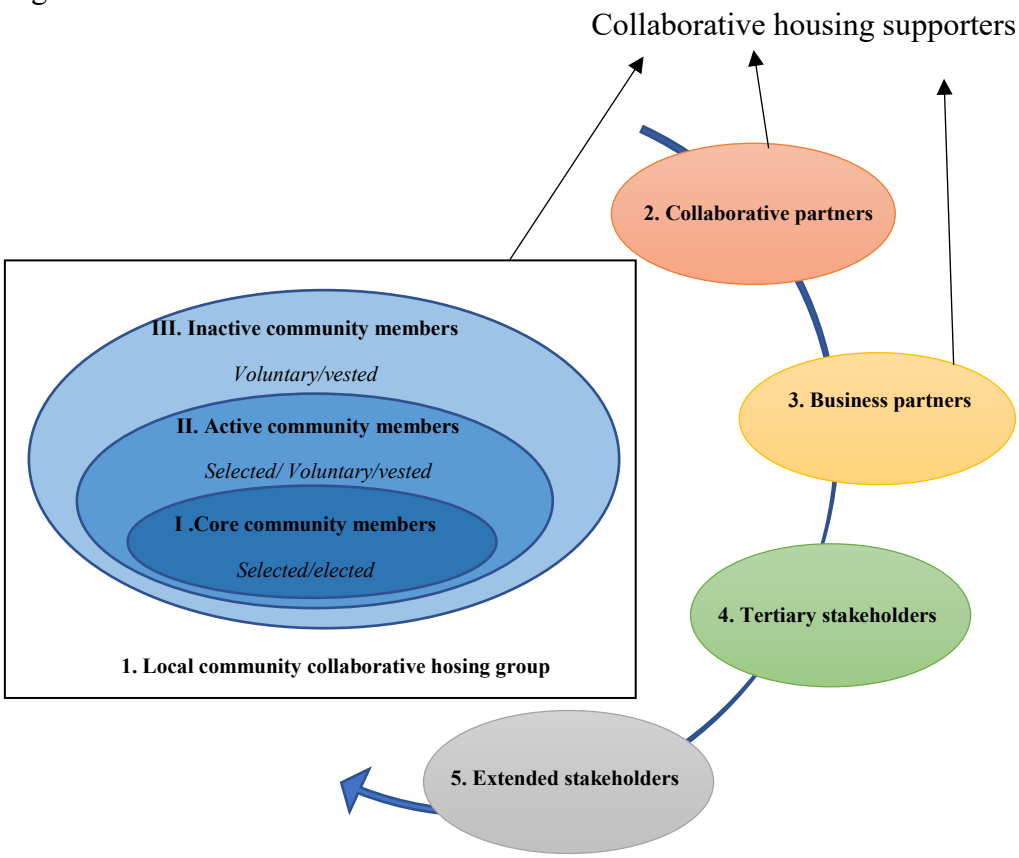
5.1 Introduction

This chapter provides an introduction to the four cases and maps the key stakeholders and the relevant policies that influenced their development (the chronology of their development is provided in Appendix 16). Firstly, it defines five types of collaborative housing stakeholders. Secondly, it demonstrates how four case projects came about representing the current dynamics of collaborative housing organisations by chronologically detailing the significant incidents and practices (and the surrounding socio-economic, environmental contexts) for these four cases. The last two parts analyse their sources and consequences of collaborative housing land.

5.2 Collaborative housing stakeholders

The thesis defines five types of collaborative housing stakeholders based on the analysis of two preliminary studies and the literature review, including pre-histories of four case projects (Figure 5-1): (1) three categories of local community collaborative housing members (2) collaborative partners, (3) business partners, (4) tertiary stakeholders and (5) extended stakeholders. This idea of multiple stakeholders was discussed in the literature (Czischke, 2018; Mullins and Moore, 2018; Davis, 2010a; Pestoff, 2008b).

Figure 5-1: Stakeholders



(The above colour coding of stakeholders is followed throughout the whole thesis. To be specific, the three different shades of blue refer to three classes of the local community collaborative housing members. The orange refers to collaborative partners. The yellow refers to business partners. The green refers to tertiary stakeholders. The grey refers to extended stakeholders.) (Source: The author)

The idea of local community collaborative housing members was used to define the research objectives in the Actors pillar for the following three reasons:

(1) Support from citizens was an essential ingredient for successful projects.

(2) The failures of the Beijing CSH project in 2015 and the initial Bristol CLT project in 2008 were partly related to a failure in securing support from local people.

(3) There were three categories of members that four successful projects needed to engage in. They were (1) *core community members, (2) active community members, and (3) inactive community members*. This drew on the analysis of the four cases validated by more extensive reading (Davis, 2015). Core community members were the major participants who managed collaborative housing organisations. Active community members were positive followers of core community members. Inactive community members joined in the local community collaborative housing group but made limited contributions to its development and governance. The different approaches of three types of members and their characteristics were provided in the matrix Figure 5-14.

Other stakeholders were defined based on the concept of the organisational field that relevant organisations, including complementary and competing roles, constitutes '*a recognized area of institutional life*' (DiMaggio and Powell, 1983, p. 148; Lang and Mullins, 2015; 2019). Collaborative housing organisational fields referred to the operating environments in which five types of stakeholders interacted with one another to affect the practical development of projects in collaborative, mediated, legal or mixed manners. Collaborative partners were the main supporters and facilitators who had essential influences on the development. Business partners were the commercial contractors; the establishment of their relationships were market behaviours. Local community collaborative housing members, collaborative partners and business partners were named as collaborative housing supporters, given their participatory willingness and contribution: this was particularly regarding resources, knowledge, and skills for the project construction and development in practice. Tertiary stakeholders referred to the

general regulatory agencies, who act in respect to the existing laws, policies and regulations, such as legal formulations of collaborative housing organisations, government grants and housing planning permissions and enforcement. Extended stakeholders were mainly those opponents who had conflicts of interests with the projects. These five types of stakeholders played essential roles in affecting how these new ideas of collaborative housing were implemented with different settings of resources as introduced in Chapter 3 and why they worked with different partners towards successes as described below.

5.3 Case descriptions

5.3.1 Bristol Community Land Trust

The history of BCLT was traced back to the Bristol City Council (BCC)'s first non-implementation of the idea of CLT in 2008. At that time, BCC recruited a specialist to conduct the feasibility investigation of CLT in affordable housing provision and organised some local public meetings. However, few people were interested in the CLT housing model or attended these meetings. In 2010, BCC again placed the CLT project on its agenda and organised a further public meeting with local social activists. These social activists organised the BCLT promotional campaign event, which two hundred and fifty people attended, one hundred and fifty becoming BCLT members with the payment of £1. In April 2011, the organisation of Bristol CLT Limited was established with a legal form of the Community Benefit Society. The initial management board was made up of these local social activists who were comprised of lawyers, financiers and builders, local

councillors and officers from the United Communities Housing Association. This first BCLT housing project at Fishponds Road was completed in September 2017 (Figure 5-2). Appendix 16-1 outlines the main development events of Bristol CLT. Currently, BCLT is working on its second housing project with two of the same partners, United Communities and Ecomotive, at Shaldon Road, Bristol, where they plan to build forty-nine sustainable and affordable housing units.

Figure 5-2: BCLT housing at 325 Fishponds Road

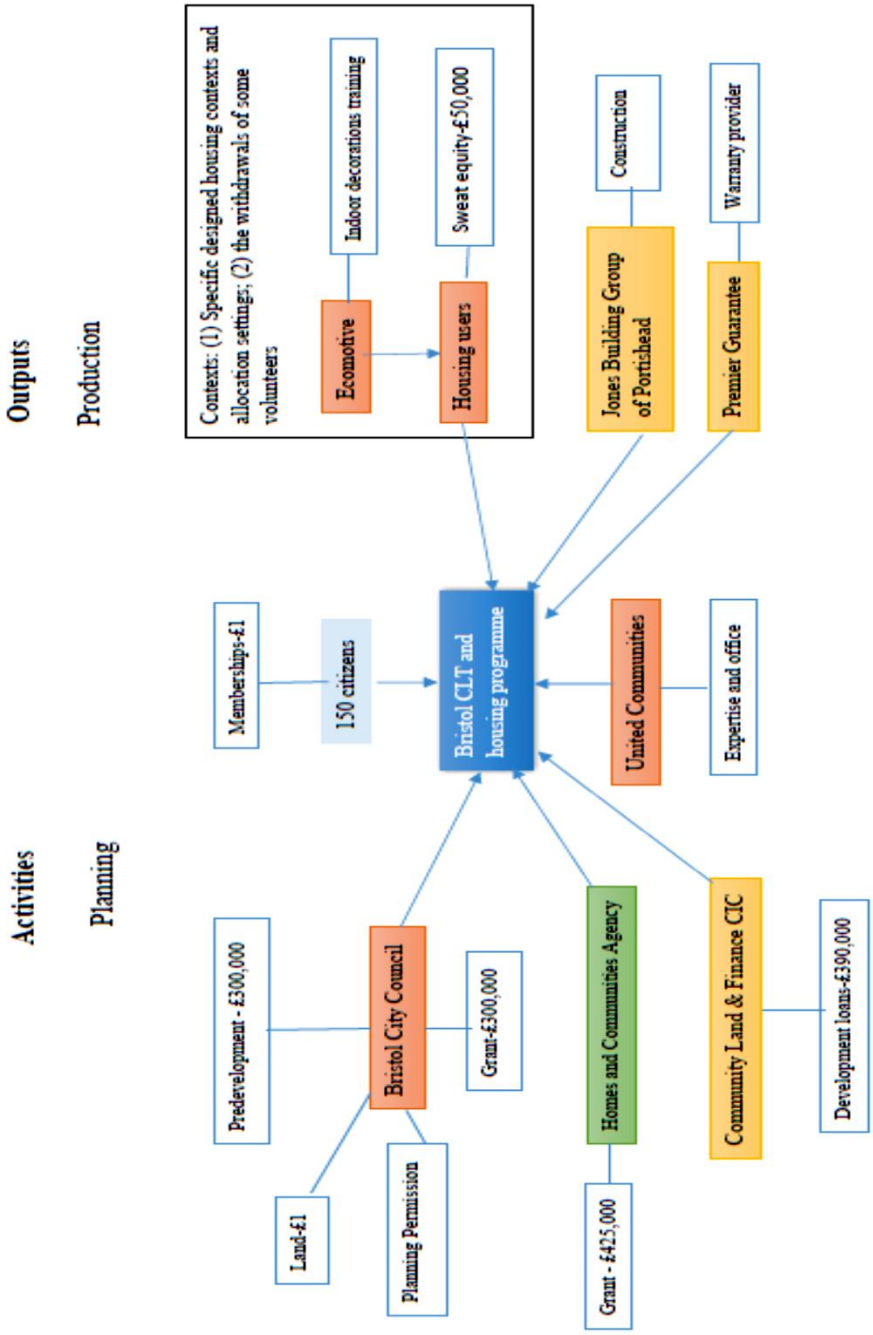
(Source of the location of Bristol CLT project: Google Maps on 03 September 2018)

(Sources: I took the left image and the right was from Bristol Community Land Trust Webpp. http://bristolclt.org.uk/blog/projects-2/(Accessed: 03 September 2018))

Stakeholders and production. The core development pattern is highlighted in Figure 5-3. In this thesis, the two English cases did not take the community share raised from the CLT membership into account, due to the small amount in the collaborative housing development. BCC loaned the BCLT money to fund a development officer for eighteen months and allocated £300k to help fund the initial pilot project. Meanwhile, it transferred the site at Fishponds road to BCLT for £1, but when planning permission was secured the value of the site rose to £286K (open market valuation). The United Communities Housing Association played an essential role in facilitating and supporting the pilot housing project at Fishponds Road regarding the processes of housing planning, construction, consumption and allocation, as well as property management. Moreover, it also provided free office space for the members of BCLT to work daily and so saved on office space rental. The first BCLT project was self-finished with the new collaborative housing residents actively taking part in the fitting out of the interiors. A discount on rent or purchase price, 'sweat equity', was given in exchange for the labour put in by the occupiers (Figure 5-4). The Ecomotive self-build group leader provided training to the new residents involved in the finishing works. Resonance Limited, a commercial company, invested in BCLT's Fishponds Road housing project with £390,000 through its Affordable Homes Rental Fund (AHRF) project. Including the BCLT case, it supported thirty-seven community groups and invested in twenty community-led housing projects with a total of £3,395K through its AHRF until 2017 (Community Land & Finance Social Impact Report 2016/17, 2017). The sub-organisation, Community Land & Finance CIC, run this work, focusing on the impact of social investment. The investment in the BCLT case was designed as a flexible loan with a fixed 4.95% interest rate to accommodate amounts of property for sale through shared equity and property for the rental market.

The transferred land from BCC became loan collateral. It is worth noting that the interest rate is typical or even a little low for a social investor in high-risk social enterprises, but higher than an HA or local authority could secure for lower-risk projects with asset cover.

Figure 5-3: The development pattern of the first Bristol CLT project at Fishponds Road



(Source: The author)

Figure 5-4: The BCLT housing value and sweat equity discount at Fishponds Road

Unit Type	Tenure	Value	Sweat Equity	Equity Sale/Rent
Terrance House (end); three-bed (99 sq. m)	Shared ownership; two available	£200,000	Max. £4,705	65% at a cost of £121,073 +£65 per month rent (1% of retained equity)
Terraced House (mid); three-bed (99 sq. m)	Shared ownership; four available	£195,000	Max. £4,705	65% at a cost of £118,046+£64 per month rent (1% of retained equity)
Studio; one-bed (48 sq. m)	Shared ownership; one available	£115,000	Max. £2,588	65% at a cost of £69,617+£37.83 per month rent (1% of retained equity)
Studio; one-bed (38-40 sq. m)	Affordable rent; five available	n/a	Rent reduction	£86.22 per week with self-finish (or £ 89.91 per week without) inc. service charge

(Source: National Custom & Self Build Association, http://righttobuildtoolkit.org.uk/case-studies/bristol-clt/# (Accessed: 03 September 2018))

5.3.2 Wessex Community Assets – The Wessex CLT projects

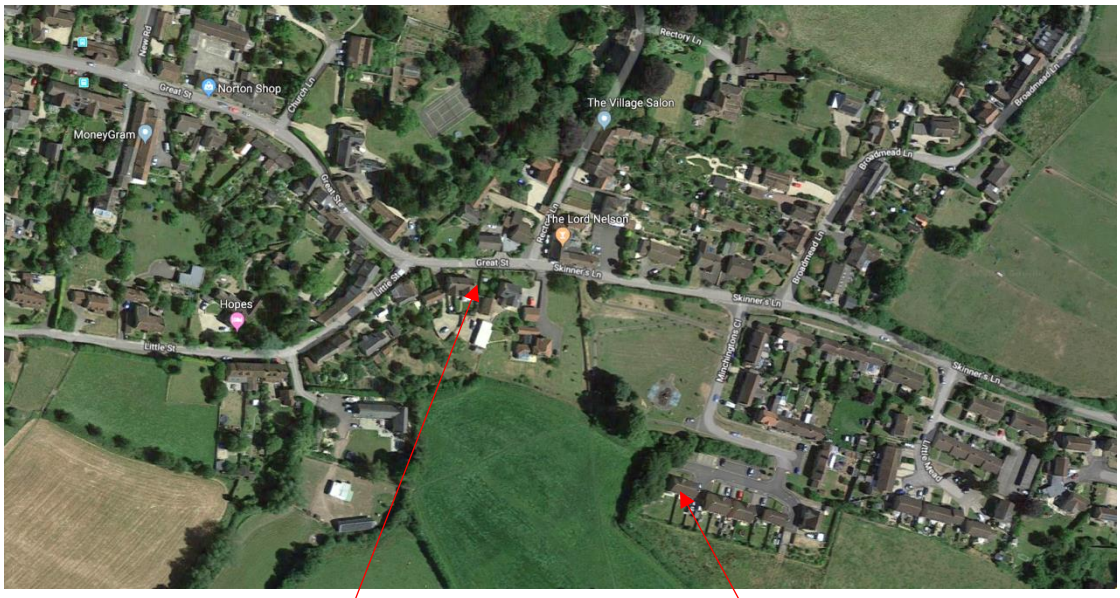
WCA is a social enterprise with a particular focus on community resilience through the mechanisms that help local communities gain access to land and finance in rural Wessex. Its original interest was the concept of community shares. For the past fifteen years, it has provided a new financial approach to pooling money for community asset investment, thereby addressing community issues, such as affordable housing provision, and improving community resilience. The Wessex CLT project was a commissioning service, supported by the Carnegie UK Trust since 2010 to pilot CLT projects under the *Housing and Regeneration Act 2008*. This facilitated the understanding of the role of the state in advancing CLTs, as argued in Chapter 4 with the establishment of the National CLT

Network in the same year. WCA also secured the funding from the Devon, Somerset and Dorset councils to conduct CLT activities across a wide geographical area. The Wessex CLT project is financially self-sustaining and by 2019 had completed thirteen CLT housing projects with a hundred and twenty-one housing units, had another five projects on-site, five projects with granted planning permissions, twenty-one projects in the pre-planning stage and three steering groups seeking projects (https://wessexca.co.uk/wessex-community-housing-hub/wessex-clt-project/projects/, Accessed: 20 January 2019). WCA also helped set up and collaborate with 'umbrella' organisations as well as individual CLT structures across the country, such as in Lincolnshire, Cumbria, East Anglia, and Cornwall (https://clhtoolkit.org/snapshots/wessex-community-assets, Accessed: 20 January 2019).

The thesis focuses on two WCA-supported CLT projects, Norton Sub Hamdon CLT (NCLT) in South Somerset (Figure 5-5) and Symene CLT (SCLT) in West Dorset (Figure 5-6). Research into WCA-supported CLT projects reveals WCA's role in promoting, aiding and networking CLT organisations and activities, obtaining external resources, knowledge and skills for affordable housing provision in diverse contexts in Wessex and beyond. Tracing back the pre-development histories of the two projects, in both cases, Parish Councils conducted the housing surveys and found a housing need. There were opponents in the local communities concerned with natural environmental protection and a 'not in my backyard (NIMBY)' sentiment (Field and Layard, 2017; Jarvis, 2015b). The Symene CLT project was WCA's first housing scheme in its Wessex CLT project in 2010. It had been created in 2008 based on the advice of Community Finance Solutions, a research unit at the University of Salford that worked with Carnegie UK Trust to conduct

the CLT research. The NCLT project was completed in October 2014; the SCLT project was completed in May 2015, at which time NCLT also took over the only community shop and post office in the village. SCLT is planning its second affordable housing project by partnering with a local commercial housing developer. The main events of these two CLTs and housing projects are detailed in Appendix 16-2.

Figure 5-5: The location of NCLT housing and Norton Shop



(Source of the location of Norton Sub Hamdon Shop and CLT project: Google Maps on 12 January 2018)

(Norton Shop)

(NCLT housing and community)

(Source: The author)

Figure 5-6: The location of SCLT housing and community

(Source of the location of the SCLT project: Google Maps on 12 January 2018)

(The site for the possible second CLT project) (SCLT housing and community)

(Source: The author)

Stakeholders and production. The NCLT and SCLT housing projects were promoted by the WCA which had received these two local county councils' grants in supporting the CLT development. The main development patterns of NCLT's and SCLT's housing

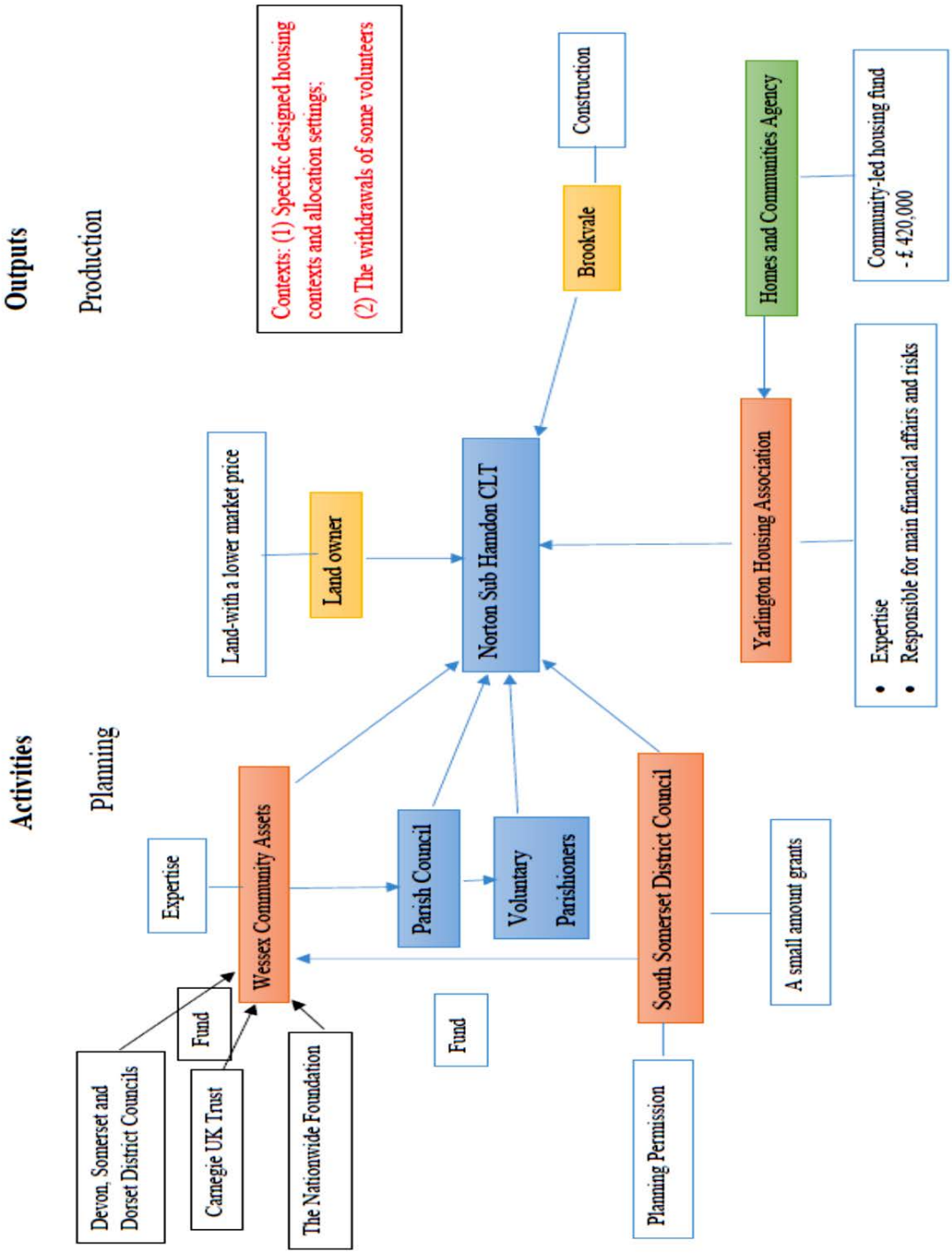
projects are highlighted in Figure 5-7 and Figure 5-8 respectively. There are six main similarities in developing CLT housing projects:

(1) Both housing projects were developed based on the partnerships of local HAs who were responsible for the housing development, allocation, main financial affairs, risks and property management.
(2) Both land plots with one hundred and twenty-five-year leases were bought from local private landowners at below market price, and required the land never to be sold on the market and only used for the community benefit.
(3) Government funding, particularly from Homes England, played an important role in these two projects.
(4) Housing users had access to, but were not required to become, local collaborative housing members (some of the housing users were members of the CLTs). In general, CLT housing users did not actively participate in the project development process, particularly for housing decorations with 'sweat equity' in comparison with the BCLT case.
(5) Ten affordable homes were built in each housing project with two shared ownership housing units and eight affordable rental housing units
(6) The housing allocation principle was designed based on local links within and between villages, such as family members and employees, as well as housing need as assessed by the affordable housing policy.

Both landowners were committed to the importance of collaborative housing projects in housing local people and benefiting the local communities (see Section 5.4), although their positions to community collaborative housing groups were different. In the NCLT project, the landowner did not join in the local collaborative housing group, while in the

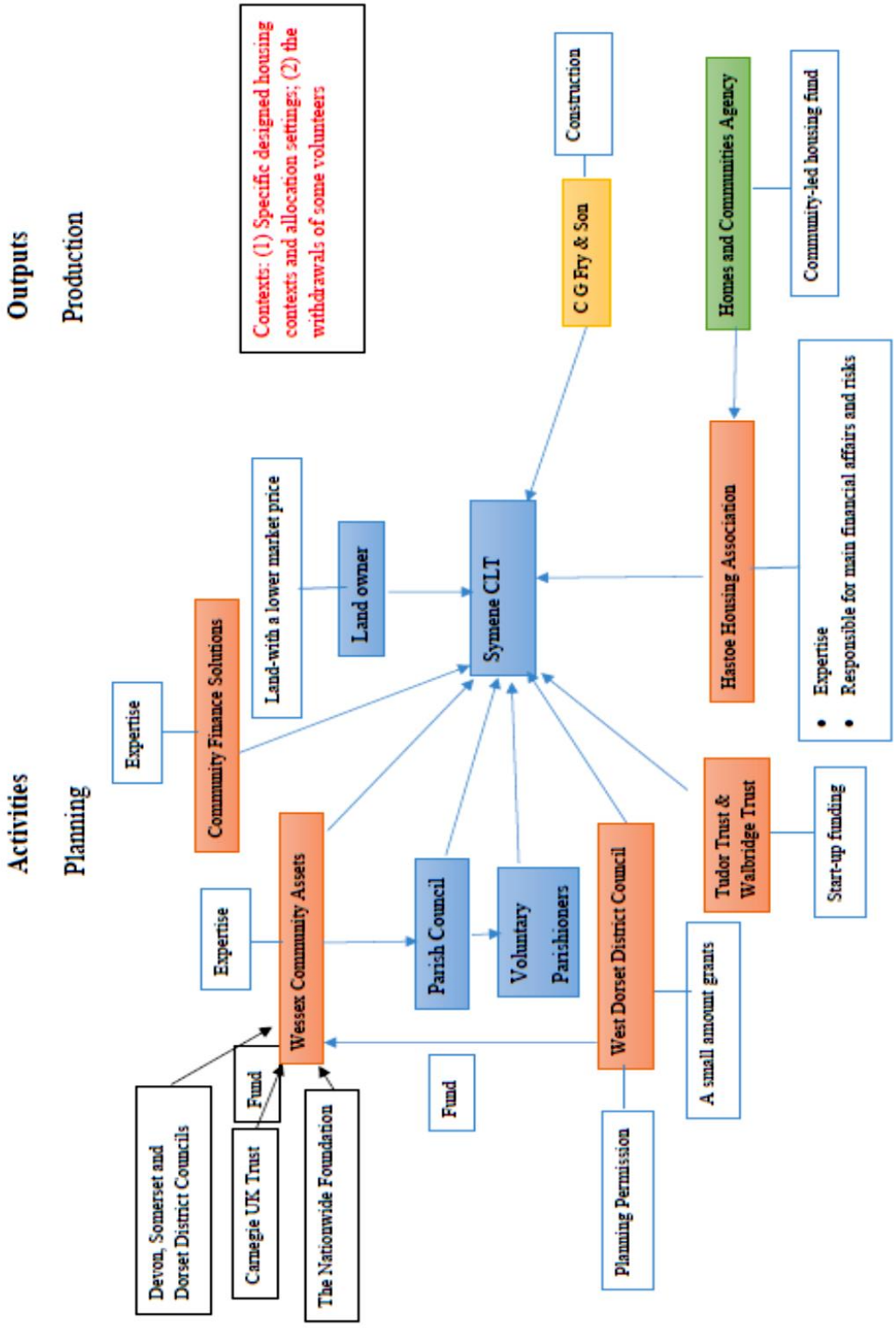
SCLT project, the landowner was one of the core members and was also a local parish councillor seeking affordable housing for local parishioners.

Figure 5-7: The development pattern of the Norton Sub Hamdon CLT project



(Source: The author)

Figure 5-8: The development pattern of the Symene CLT project

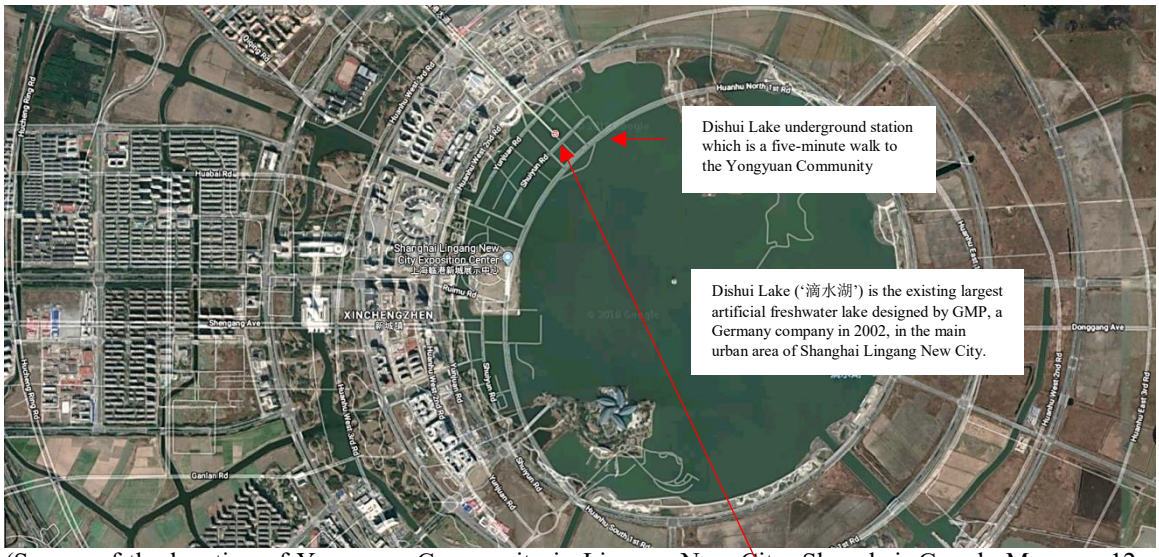


(Source: The author)

5.3.3 Shanghai Yongquan Community

The housing project, Shanghai Yongquan Community (SYC, '**上海涌泉苑**'), followed a developer-community partnership model, in which a small real estate company, Shanghai Hezhu Real Estate Co. Ltd ('**上海合筑房地**产有限公司') sought to provide housing that benefited local residents in terms of personal customisation and cheaper housing prices. Lower than normal market housing prices were sought based on an innovative housing development pattern within the market mechanism. The CEO of Shanghai Hezhu Real Estate Co. Ltd, Mr X (used in SYC initiator's name in this thesis), was the SYC initiator who had worked in the real estate industry since 1995. The idea of collaborative housing developed out of the concept of customised housing concerning the standard dwelling types built in the Chinese real estate industry. He believed that the obligation of a real estate developer was to provide 'happiness' to the public rather than a housing unit as traditional housing culture would require. Staffing challenges (particularly staff retention), and business partners with shared collaborative housing ideas (mainly real estate developers) were two main issues for enacting collaborative housing projects, as were the increasing housing prices and the huge profits in the market mechanism. This is illustrated by urban land for housing building regulations in China, see Section 2. After his first pilot project in Zhejiang Province, he launched the SYC project in Shanghai in 2012. The SYC began the construction in May 2016. (The dwellings were almost completed at the time of the investigation on the site in 2018.) (Figure 5-9) It is predicted to carry out the housing allocation and letting process in 2019. Mr X is advertising his third collaborative housing project. The main events related to the SYC project are outlined in Appendix 16-3.

Figure 5-9: Shanghai Yongyuan Community at Lingang New City



(Source of the location of Yongyuan Community in Lingang New City, Shanghai: Google Maps on 12 January 2018)

(The new project on the land number WNW-A1-3-1)

(The designed housing and community images)

(The construction site and stage)

(Sources: I took these three images on 1 January 2018) (Source: The author)

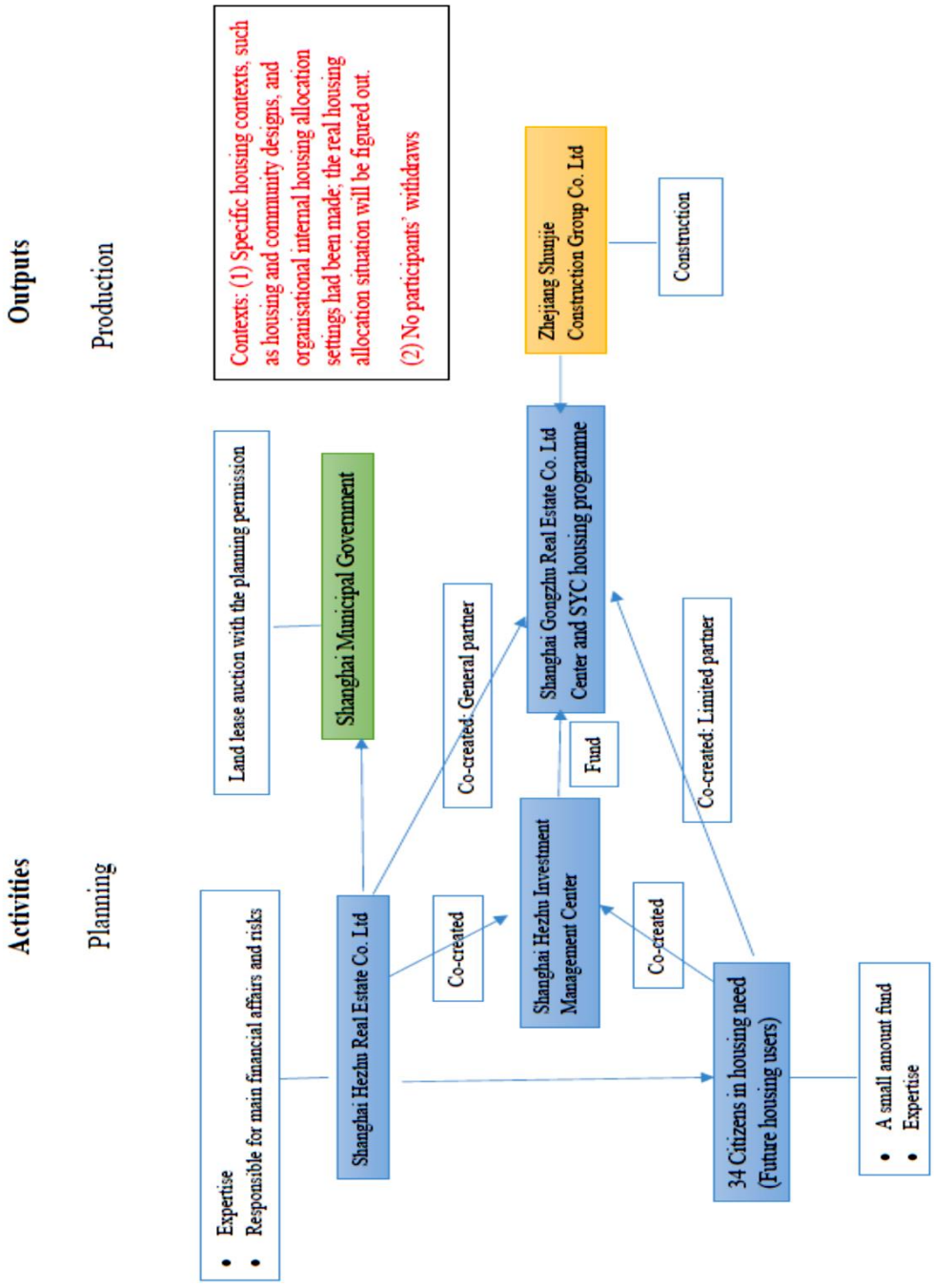
The SYC project is a breakthrough of non-government organisation-organised collaborative housing activity in urban areas during the last two decades. It is also an innovation in the fashion of a pure market economy without governmental support. The

custom-built housing model underpinned the thirty-four participants' involvement in the SYC housing and community design. This breaks the routine of housing design and provision in urban China. The Shanghai Hezhu Real Estate Co. Ltd. obtained a national invention patent of housing design for this housing project. From the land auction to construction and from recruiting the partners to the future housing pre-sale, it fully complies with existing laws.

Stakeholders and production. Mr X and thirty-four local community collaborative housing members who were Shanghai citizens in need of housing set up Shanghai Gongzhu Investment Management Centre together to raise finance (Figure 5-10). They also commonly established and commissioned the Shanghai Gongzhu Real Estate Co. Ltd., a limited partnership corporation, to carry out their collaborative housing project. On January 17 2013, Mr X and representatives of the thirty-four partners bid on the WNW-A1-3-1 plot of the main city zone of Pudong New Area Lingang New Town, Shanghai in the land auction. The total bid for leasing the land was 57.5 million yuan with a seventy-year lease contract for residential housing and a forty-year lease contract for commercial housing (Figure 5-11). In this SYC project, Shanghai Hezhu Real Estate Co. Ltd. Invested 250 thousand yuan and raised 80 million yuan; while the total investment from the participants was 19.55 million yuan. In the SLY project, the total investment in the project was about 200 million yuan. The surplus (around 100 million) will be in place after the pre-sale license is obtained (mainly from the thirty-four local community collaborative housing members who are also housing purchasers). In this project, thirty-four local community collaborative housing members as investors directly participated in all decision-making stages related to the housing development and provided their

opinions and suggestions. Meanwhile, one participant's father supervised the housing construction given their professional employment background in this area. This was based on the agreement between the initiator and the thirty-four local community collaborative housing members.

Figure 5-10: The development pattern of the SYC project



(Source: The author)

Figure 5-11: Information of the land, housing and community design in the SYC project

The leasing land area	8088.2 square meters
The total construction scale	25650.09 square meters
The total construction scale for housing	• 16176.4 square meters • 11, 314 square meters is used for residential housing (70%) • 4,800 square meters is used for commercial purposes (30%)

(Sources: Land information was from the online webpp. of Shanghai Municipal Bureau of Planning and Natural Resources: Available from http://www.shgtj.gov.cn/search/?kw=WNW-A1-3-1%20 (Accessed: 12 January 2019); housing and community design was summarised by the interviews))

5.3.4 Tianjin Jinhe Community

Tianjin Jinghe Community (TJC, '金河家园') was a Nanhe Village-based collaborative housing project set up to address the villagers' housing shortage due to lack of residential land allocation ('宅基地') over a period of nearly forty years, since the 1980s. It was an example of policy deregulation that allowed rural villagers to raise funds to build multi-storey apartment buildings to solve their housing needs, in line with the saving land principle under the rural urbanisation policy in the 2000s (Lai et al., 2017; Wang and Wang, 2014; Song, 2015). The desire to have a modern lifestyle at a reasonable price triggered the second stage of the TJC project. One of the main reasons was that most of Nanhe villagers gradually realised the advantages of living in modern apartments and value for money during the three-year observation and communication with the TJC residents. Figure 5-12 shows the residential areas in Nanhe village. This thesis only focused on the two stages of housing construction of TJC in 2000 and 2006. The main events of the Tianjin Jinhe Community project are covered in Appendix 16-4.

Figure 5-12: Residential areas in Nanhe village

New residential area

- Jinhe Community since 2000
- Jinyuhuating Community since 2011
- Jinsheng Villa Community since 2013

Old dwellings area
(surrounded by blue iron for safety reasons)

(Source of the location of the TJC community, Doling District, Tianjin: Google Maps, 14 June 2018)

Multi-story buildings in Stage 2 of TJC

Four six-storey buildings in Stage 1 of TJC

(I took pictures of three residential areas on February 2018) (Source: The author)

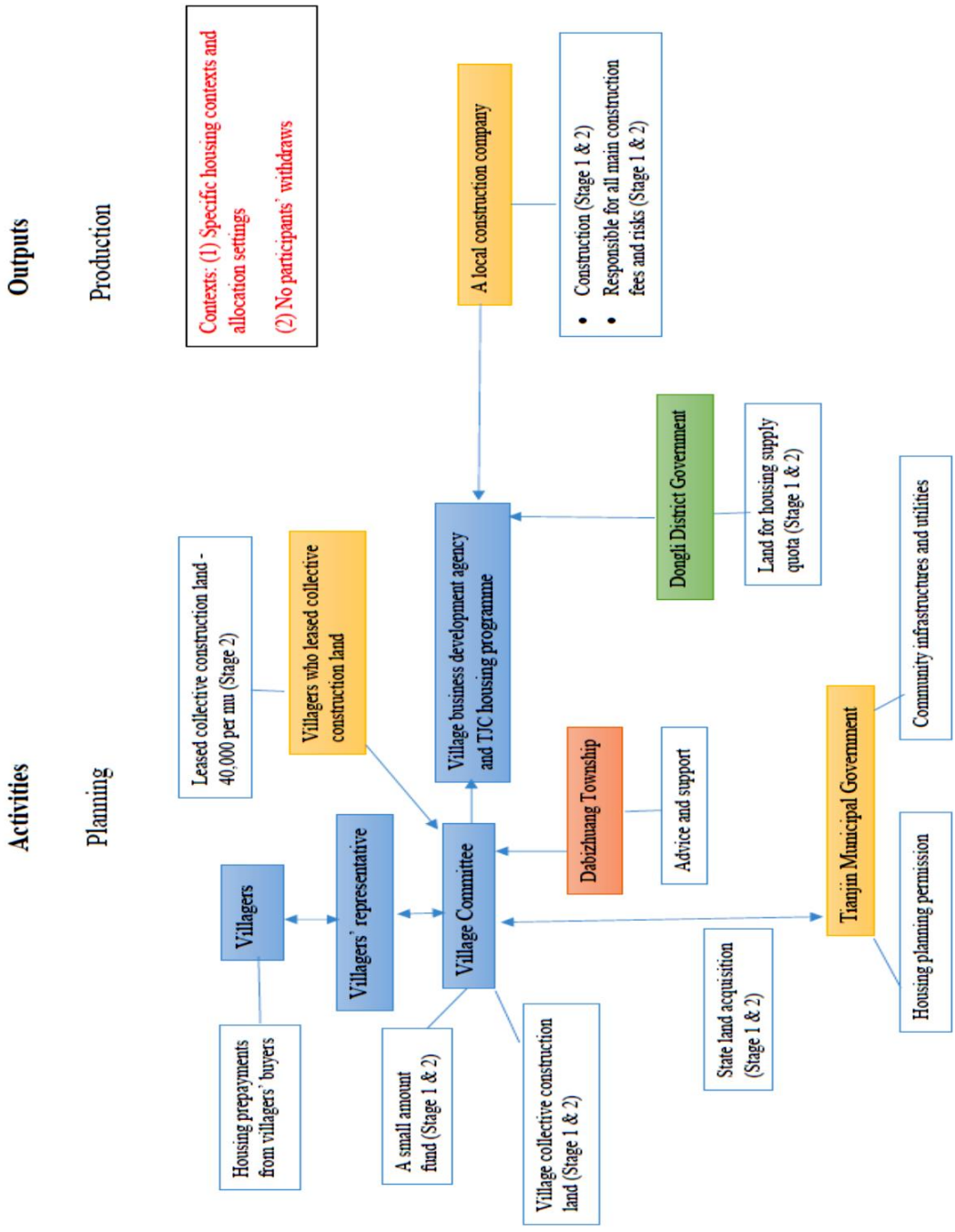
The TJC history in Nanhe village helps one to understand the grassroots approach towards the rural modern housing provision and development. This is important in application to future rural housing reforms in other regions of China experiencing rapid urbanisation (Lai et al., 2017; Liu et al., 2008; Ma, 2012; Wang and Wang, 2014). A critical goal of the study is to understand the causal links within government and policy before, during

and after the TJC development. The study also explores the factors influencing the shared ideas of different levels of officials who agreed with the development of TJC, which in turn shaped the implementation of village-based collaborative housing in practice, for instance, building style and public utilities.

Stakeholders and production. The rural housing construction required government planning permission to satisfy the land for housing supply quota ('**住房用地供**应指标') in Tianjin. The housing planning permissions of TJC (both Stages 1 and 2) were regarded as negotiated outcomes because the state (Tianjin) planned to acquire parts of Nanhe collective land for wider public infrastructure schemes in 2000 and 2006 (Figure 5-13). The strong village leadership team negotiated with the state (Tianjin) and enabled the Tianjin Development of Reform Commission (TDRC) to approve the housing planning permissions. This finding of strong village leadership was also reported in the previous study of China's rural self-help housing (Song, 2015). In the first stage of the TJC project, Nanhe village acquired an unused yearly housing quota from the Hexin Village ('**河**兴庄'), an urban village in the same Dongli District, via negotiation. Hexin Village did not want to use it for many reasons. The second land for housing supply quota was obtained as the negotiated outcome of two land acquisitions by the government in 2000 and 2006, as explained in Section 4.3, the 'land usufruct returning' model (Bao et al., 2016; Xue et al., 2010; Huang et al., 2000). The main funding for construction in both Stage 1 and 2 was borrowed from the same qualified construction enterprise that oversaw the two-stage TJC construction. Nanhe village and the investor (the construction group) agreed on the use of Nanhe village collective land as collateral. The first stage of TJC housing was built

on the empty village collective construction land that was a rural planning concept to regulate different land uses. The second stage of TJC housing was built on parts of the empty village collective construction land and parts of transferred collective construction land derived from villagers who had leased it for agricultural purposes.

Figure 5-13: The development pattern of TJC



(Source: The author)

5.3.5 Comparing features of local community collaborative housing members

Figure 5-14 shows the approaches to forming the local community collaborative housing members' pools. The two English cases, BCLT and WCLT, generally followed the membership rules of the CLT model through buying nominal shares (at £1 or £10) or paying the similar nominal membership fee(s). Their core members were voluntary with wide acknowledgement in their collaborative housing careers according to research. In contrast to the two English cases, the SYC initiator created a membership system in which the initiator, as the core member, selected active members who could join in the SYC project and become partners of the Shanghai Gongzhu Investment Management Centre. Selection was based mainly on three criteria:

(1) Their affordable housing needs
(2) Local hukou
(3) Economic capabilities to purchase housing in market-based real estate development

Inactive community members in the SYC project were the persons who were interested in the CH idea, but either decided not to participate and invest in the project or had not met one of the three recruitment criteria. For the TJC project, local villagers were vested stakeholders because of the rural collective land ownership in governing village collective land use and the democratic discussion system in administering village collective affairs. Core members were the TJC initiators who were village leaders in the village committee and selected by villagers through the village representative election model. Active members were the village representative and those villagers who positively participated

in the TJC projects and presented ideas through the village representative. Inactive members were the rest of the villagers including the project opponents. According to the rural village autonomy system, a village policy was approved with over 70% agreements of village representatives on behalf of villagers in China.

Figure 5-14: Local community collaborative housing members and characteristics

Cases	Inactive community members	Active community members	Core community members
BCLT	• Paid (at least £1 share)-Voluntary • With and without affordable housing need	• Paid (at least £1 share)-Voluntary • With and without affordable housing need	• Paid (at least £1 share)-Voluntary • Generally no housing need
WCLT-NCLT and SCLT	• Paid (at least £1 share in the NCLT or £10 shares in the SCLT)-Voluntary • With and without affordable housing need	• Paid (at least £1 share in the NCLT or £10 shares in the SCLT)-Voluntary • With and without affordable housing need	• Paid (at least £1 share in the NCLT or £10 shares in the SCLT)- Voluntary • Generally no housing need
SYC	• Free-Voluntary • With and without affordable housing need	• Paid (at least 50,000 Yuan)-selected • With affordable housing need	• Paid (generally responsible for the whole investment money)-Gatekeeper • Generally no housing need
TJC	• Free- Vested stakeholders • Paid (at least 50,000 Yuan)-Voluntary (those persons with affordable housing need)	• Paid (at least 50,000 Yuan)-Voluntary • With affordable housing need	• Village collective assets with villagers' support through the village democratic discussion procedure-Elected • Generally no housing need

(Chapter 6 considered the descriptive analysis of local CH members. The importance of member composition and the nominal membership fee was explained in the Ideas and Partnership pillars concerning management and governance activities in Chapter 7) (Source: The author)

Across the four case studies, although interviewed core members did not live in case communities and said that they did not have housing needs, this thesis used 'generally no housing need' to represent it cautiously. Importantly, the two English cases showed the relatively high-level mutual support of local people who were not housing users, as stated:

> *'My basic belief is that if you want to be a part of the community and community wants to become sustainable, it needs to look after itself'.*
>
> (WN4, [redacted] NCLT, on 23 May 2018).

The two Chinese cases showed the relatively high-level self-help of collaborative housing users, as argued:

> *'For the first group stakeholders (active collaborative housing members), we gave Mr X some opinions on how to develop the project. For sharing benefits, Mr X had said that. And we also understood that there was no difference between the first group of stakeholders and second group of stakeholders because we supported each other and commonly shared the risk of the project. Every group contributed to the project'.*
>
> (S5, SYC active member [redacted], on 05 January 2018).

5.4 Access to collaborative housing land

The four case projects showed that the idea of keeping community/collective land for the community/collective played an essential role in enabling landowners to transfer or sell the land to local community collaborative housing groups. In English contexts, for example, reviewing the private land sources in WCLT case, the NCLT secretary

described that the landowner was not the NCLT member and sold the land to NCLT at below the market price:

> '*So, when we set up a CLT organisation, there was a difficulty getting any land. And then there was a local farmer. When he knew that the community was going to be involved and he is sort of civil, he said: "I will sell you some land at a very good price. But you have to promise me it [land] is going to be for local people forever and it will not be able to be sold off." You know, we do not do that (based on the CLT model). So, he said: "Yes, okay I will sell you the land". So that was the way because it was the community so that he was happy to sell land'.*
>
> (WN4, [redacted] NCLT, on 23 May 2018).

In the SCLT case, the landowner who was also the core member and the SCLT's vice-chair were aligned to these two ideas in favouring the common good. However, he did not know of the concept of common ground according to the results derived from their self-completed questionnaires.

Actors subscribed in practice to ideas like common ground without being aware of them in theory, and this is probably quite common. This highlights an interesting issue in qualitative research: one should balance attention between what people actually do and how they rationalise or explain it. Meanwhile, the SCLT's pre-chair argued: *'I say certainly if (the landowner) had not provided the land, it would not have happened. We could not find any other land'* (WS4, [redacted] SCLT, on 12 September 2018). Both the NCLT and SCLT cases highlighted that the landowners' personal actions and considerations were essential.

In the Chinese contexts, in the SYC case, although core and active members bid on the land used in a normal auction, they perceived having the right to use state-owned land as the 'government-awarded' opportunity to try the new idea of collaborative housing. They felt that government had established collaborative housing to provide affordable housing to local people.

> *'It is a concept. We must conduct it well since the government has given us the land and allowed us to do…. It is a new thing. The government was also very cautious to approve it (planning permission), especially for the joint venture plan. I [the government] was afraid that you [we] would have issues. Meanwhile, the government cares for the citizen in case of the public to meet some risks. For Shanghai, in this area, when you want to conduct collaborative housing, the government also has certain risks. So, I talked to Mr X at the meeting that the government gives you land, you have to be responsible to the government. You should not do fraud behaviours during the period of implementing the project. [If you did,] we just lost a little, but you had a big issue. In fact, I do not think that he will. After all, the government gives our opportunity*.'
>
> (S5, SYC active member [redacted], on 05 January 2018).

This right to use land was also reviewed as evidence of success. The argument was evident in two cases of (1) the strong confidence and incentive among core and active members who were housing users to carry out this collaborative housing project, and (2) the unexpected participatory willingness of a large number of inactive community members who had communicated with both the SYC project and the wider general public. In the TJC case, good evidence was high levels of commitment of collective land leasers

who transferred their pieces of land to the village collective for housing construction. The villagers commonly decided the price. And this process was described as follows:

> *'This [TJC plan] was a good thing…. When we acquired land, everyone held this shared mind… In practice, everyone's idea was simple. It [the village collective] was to acquire land for building housing [and every villager agreed] with [the land transaction fee] 40,000 Yuan [per mu]. There was no disagreement.'*
>
> (T8, village representative [redacted], on 12 February 2018).

Each of the four case studies also shared a common theme of mutual-help and self-help. This was the local community/collective land governance use, management and associated benefit-sharing. The above statements show the ideas of keeping land in common and keeping its use (including benefits) for local people. This collective benefit contrasts with the neoliberal context in which land benefits are routinely subject to market forces and individual profit. Figure 5-15 presents the pre-conditions of perfecting present and future public/collective interest required by the landowners across the four cases. In the SYC case, the increasing land price that core and active members commonly found over eight years led to a debate as to whether selling the land and sharing the benefits to buy commercial housing on the market should address housing issues, given the long-term real estate development circle and the associated high risk. What was more important was that this project contributed to ten policy-oriented housing units in line with the local real estate development regulations (see Appendix 16-3 and Figure 6-11). Addressing collective housing issues and benefiting the whole village contributed to a high level of agreement and democratic discussions regarding how to best use village collective land

in modern times. This finding supported previous research into rural village-and-town self-organised housing reforms and urbanisation (Wang and Wang, 2014; Ma and Fan, 1994). Wang and Wang (2014) argued that to some extent, the village-based bottom-up or grassroots model was the informal first stage of rural urbanisation. It was followed by the government and professional-dominated top-down approach once the local authority had embraced enough recourses and integration of the city with the domestic and global urban development had occurred (ibid.). Therefore, it was necessary to reconsider the identities and roles of decision-makers in the land governance system and the associated contexts of use, management and sharing benefits. The contexts of management and benefits, from the housing perspective, were further analysed based on the consequents of these projects in Sections 5.5 and 6.4.3 respectively (see Appendix 16).

Figure 5-15: Strategies and conditions to access to land

Project	Strategies	Conditions
BCLT	Negotiation with Bristol City Council (such as the government-launch project)	Moving the rocks around the site and constructing the car park
WCA	NCLT: Negotiation with the landowner (such as future village development)	The landowner required the land to be used exclusively for the community collective interest at present and in the future, based on the principle of common ground.
	SCLT: The landowner, one of the core community members in SCLT, agreed to sell the land with a lower market price after SCLT failed in its attempts to find a site.	The landowner required the land be only used for the community collective interest at present and in the future, based on the principle of common ground.
SYC	Legal bid	Following the real estate law and regulations
TJC	Obtaining villagers' agreements (70% village representatives' agreements) and negotiating with the land leasers (such as no social class differentiation under the traditional culture)	Following the principles of village collective interests first to use collective land

(Source: The author)

5.5 Consequences of collaborative housing land

Keeping financial and non-financial benefits from projects in localities (local regions and communities/collectives) was one of the common features of the local community/collective land governance in use, management and associated benefit-sharing across the four case projects analysed above. From the perspective of financial benefits, there was a significant relationship between collaborative housing profitability and land price, which was due to the idea of keeping community/collective land for the community/collective. The lower land price that local community collaborative housing groups bought/obtained helped them obtain the required economic revenues. In the two English cases, benefits for collaborative housing projects were mainly from the ground leases from Has. The BCLT had already used the benefits to provide further affordable housing, while the NCLT runs a local shop. In the two Chinese cases, benefits from projects were affected by the local land and market house prices over the years. The most interesting finding in the self-financing SYC project was the ten policy-oriented housing units built in line with the local threshold approach to affordable housing on state-owned land in Chinese real estate development projects. Benefits from the SYC project were shared by core and active members as a result of a common decision (See Section 7.6, particularly Figure 7-8). The TJC used the profits as collective assets to provide village public services, such as TJC property management subsidies and village environmental improvements. These results further supported the argument for land governance by referencing the relationship between decision-makers (identities and roles) and contexts of use, management and sharing benefits, all to better improve local welfare. This was because of

> '*the very important legal basis of community land trusts that we have what is called an asset lock…There is this asset lock. Anything and everything that we own belongs to the community. And everything we do is for the community…. It is about community ownership. That is the basic cooperative principle…. the fact that the community owns that asset can then be used to build on other community assets as far as collaboration is concerned, which is a slightly different thing from the cooperative principle of the sort of the collaboration between the community and the agencies that were needed…. Yes, you then have this sort of cooperative asset ownership in the asset lock. That can then benefit the community in other ways*.
>
> (WN4, [redacted] NCLT, on 23 May 2018).

This highlighted the critical benefit of the commons as a bulwark against neoliberalism in the land market.

From the non-financial benefits, the four cases have shown that there were relatively higher qualities of life for collaborative housing users (including potential collaborative housing users in the SYC case). The improvements were seen from various perspectives, such as living experiences, reduced financial burden and increased employment opportunities, apart from addressing local affordable housing issues (Figure 5-16 and see Appendix 16). The high participatory level of (potential) collaborative housing uses was observed to have a positive influence on the 'happy' idea under the theme of self-control in housing and life. Specifically, self-improvement in spirits, skills and life qualities were observed.

Figure 5-16: Non-financial (housing) benefits of participated housing users

BCLT	*'Whether you cope with your shared ownership or rent housing (in the BCLT), you have the sense of a stake in it. And you have your part of the decision making and you have an influence on it. You have some powers. So that is very different. And it makes it a happier community yet. And it just actually gives people confidence in themselves as well. And going back to that point, I said about mental health and wellbeing. Having a say and actually being able to influence. And I mean sort of one of the things that we have called in the community land trust is being able to find your own housing solutions as a community rather than waiting for the government to do it. They are never going to or waiting for the local council to it. They ca not do it. So it is that that sense of taking action for yourself. It is very good for wellbeing. And people learn new skills in co-ops and the community-led housing. They learn so many skills both practical skills like building, I mean I never used a drill before I started, and then also social skills about negotiating of people and living with people. And all those kinds of things.'* (B7, BCLT [redacted] resident, on 20 July 2018)
SYC	*'My idea is to say that as I am a foreigner (from another city), if I had a house (in Shanghai), I was happy. If there was not this platform (the SYC membership system), I could not have paid the (normal market) house down payment until now. Right? The quality of social life was very poor. Like my friend's family (buying a market housing), they need to pay a housing mortgage and give certain money to their parents from their couples' little income. Although I still need a little money to buy the (SYC) house, I do not have too much pressure. I am not like my friend who also has the pressure from his pregnant wife. For me, I usually want to eat what I want. I go out for a trip when I want to. I do not have to be so careful about the money. It is pretty good.'* (S4, SYC active member, on 04 January 2018)

(Source: The author)

According to the observations made, the two English cases paid attention to the younger generations. The BCLT presented a positive outcome of strengthening the control of the neighbourhood in reducing the likelihood of anti-social behaviours and crime opportunities in the local project area. In the WCLT case, collaborative housing activities were related to building rural region and community resilience and sustainability through (1) encouraging parishioners to take care of their communities; (2) housing local persons (particularly younger families) with connections with the regions and communities (3) maintaining and providing public and private services (Norris et al., 2008). This was evident in the argument of 'bringing the community together':

> *[I: What kind of things was beyond your expectations?]*
>
> *'This is a personal view, I know, but the impact that we seem to have had on this opportunity bringing the community together, so that it becomes a very united community, and everybody is working together. And I think that is the impact of that has been far greater than I after it imagined it would be yes'.*
>
> (WN4, [redacted] NCLT, on 23 May 2018).

In the two Chinese cases, apart from addressing the younger generation's housing issues, a common phenomenon was that some (potential) residents were retired urban people (the small property housing issue in the TJC case). They invested in and brought the apartments to spend their mid-later life in two rural communities far from city centres. They were concerned with the quality of life issues and the establishment of a pleasant living environment, low-cost life expenditures, accessing public facilities and

infrastructure, and convenient locations and transport (Labit, 2015), such as is reflected in the statement:

> '*If a person had money, who would buy a rural small property housing unit? Most of my friends persuaded my husband and me not to buy it and loaned from a bank. However, we were retired and had little economic capability to pay off and did not give this financial burden to my son who needed a house to get married.'*
>
> (T6, Non-Nanhe TJC buyer with Tianjin urban hukou, on 10 February 2018).

The TJC case provided an insight into the experience of the neighbourhood and the social mix between Nanhe and non-Nanhe housing users regarding commercial sales. It found that non-Nanhe residents who bought the apartments had more frequent interactions with Nanhe villagers and therefore enabled higher levels of social mixing in the village. Such as the description *'people (Nanhe villagers) saw that I could play Tai Chi. Just after a little time, ten people follow and learn from me to play'*. (T6, Non-Nanhe TJC buyer with Tianjin urban hukou, on 10 February 2018). The ongoing mutual help and learning process advanced the modernisation of a rural community. However, local villagers felt unsafe and less trusting, and they experienced less communication and interaction with temporary renters in comparison to the interactions within permanent housing in the community. The theme of the social mix was also argued by a BCLT housing user to highlight the importance of collaborative housing in comparison to the existing social housing provided by HAs.

> *'A lot of social housing in Bristol is poor quality. And people are not respected…. It is not very well supported. And people are put together who should not really*

live together as neighbours…. So, you know what I mean people with a lot of problems being put together and it makes the problems worse. A better model is mixed housing…. Mixing people from the community, helps people with problems, issues and challenges. For example, people have serious mental health problems or they are at risk of being involved in criminal activities…. [it is better to] put them in the community so that they actually see better role models. And they actually also live with people who are well….'

(B7, BCLT [redacted] resident, on 20 July 2018).

Therefore, the data provided supported, through nuanced evidence, the advantages (including for non-financial benefits such as the housing user's quality of life) of local community collaborative housing groups.

5.6 Conclusion

This chapter identified five types of collaborative housing stakeholders that directly affected the development of each case project: (1) local community collaborative housing members (with three-class members), (2) collaborative partners, (3) business partners, (4) tertiary stakeholders and (5) extended stakeholders. In responding to the research aim to determine the influence of citizens on the development, it defined the local community collaborative housing members as the objectives analysed in the Actors pillar. The first three stakeholders were defined as collaborative housing supporters who developed and collaborated with these ideas on affordable housing provisions for people in need. Four

case studies were explored by using the first analytical framework to understand the relationships between developing stages and stakeholders.

The idea of community/collective land for community/collective use was the main factor in producing these four case projects and enabling citizens (including local people as well as for those aspiring to be part of a specific community or area) to collaborate to provide affordable housing regarding the land sources. Keeping the benefits from collaborative housing projects with locals was the common result, but this occurred in different ways across the four cases. Regarding the cases of housing users' involvement in the housing design and production, their high-level participatory behaviours enabled them to have more control over this aspect of their lives. The self-controlling collaborative housing tenure by housing users had a positive effect on residential satisfaction, such as neighbourhood design and social mix. Chapter 6 will explain the collaborative approaches of supporters and associated responsibility redistribution for production.

CHAPTER 6: COLLABORATION AND ENACTMENT

6.1 Introduction

This chapter considers the enactment process of collaborative housing ideas in practice. It begins with the focus on how collaborative housing supporters linked to and communicated with these ideas. Following that, it analyses how case projects were developed regarding the redistribution of provision responsibilities. In particular, it looks at the participatory contexts of local community collaborative housing members and their response to the research focus on the collaborative possibilities for people in delivering affordable housing projects over time. The final part analyses collaborative decision-making rights in affecting property models and associated production consequences.

6.2 Linkages between and communications among collaborative supporters

As analysed in Chapter 5, the stakeholder-based development patterns enabled the process of flexibly and commonly pooling resources for housing development, so logically had the causal power in linking different types of stakeholders. Sections 6.2.1 and 6.2.2 consider the participatory contexts of local community collaborative housing groups, and collaborative and business partners respectively. Section 6.2.3 analyses the casual mechanism of forming a multiple-stakeholder collaboration.

6.2.1 Local community collaborative housing groups

As analysed in the analytical example in Figure 3-7 (p. 110), participants had access to the stakes of the regional affairs and development associated with the concept of collaborative housing, either for private or public benefit, or both. They joined in the local community collaborative housing groups and gave different-level efforts. This section mainly discusses the common factor, attachment to place, which has emerged from the analysis of interviewed core and active members given their important roles across the four cases (Manzo and Perkins, 2006; Norris et al., 2008). Regarding the research focus, this concept was essentially evident in the relationship between housing affordability and attachment to place. In the mutual-help-based English contexts, a good illustration was seen in the following quote from a BCLT active member who did not live in the project:

> '*My motivation was to work in an environment to make a positive social impact. The housing crisis is on the agenda of everybody. I had to move out of Bristol because I could not afford to live in Bristol. But I was fortunate enough to be able to afford somewhere and move outside of Bristol. But I know a lot of people are not in that position. I, myself, grew up in social housing, so social housing is important to me to ensure that there is still that provision in our country to have affordable housing for people that are not able to afford it normally.*'
>
> (B9, Board member of BCLT [redacted], on 08 August 2018).

For the self-help-based Chinese contexts, this was exemplified in the statement:

> '*Like me, I came from a foreign country [but work in Shanghai and have Shanghai hukou]; my family is just an ordinary family. I want to live in Shanghai*

in my life. The first biggest problem faced by us is to buy a housing unit…. For us, we have to think about it (SYC).'

(S4, SYC active member, on 04 January 2018).

These two arguments also confirmed that collaborative housing was viewed as an alternative solution to and expansion of affordable housing choices, and in responding to the research focus of this thesis, particularly for local people as well as for those aspiring to be part of a specific community or area.

Another crucial piece of evidence of attachment to place across the four cases was the approaches of local community collaborative housing members to understanding the schemes based on (1) their long-term concern about the villages' or cities' affairs and development or (2) indirectly via their family members and friends living there who knew their interests, including local housing needs. The attachment to place in the field of collaborative housing, consequently, referred to those members who had historical and multi-faceted living and emotional connections to particular neighbourhoods, communities and cities, including personal and interpersonal relationships. This argument was evident in their expected benefits from the projects (Figure 6-1). Figure 6-1 presents and analyses the types of main arguments of interviewed local community collaborative housing members across the four cases, which used Barton and Grant (2006)'s health map to interpret findings. These selected themes were shown in at least two case projects (Figure 6-1). This qualitative study did not distinguish and compare the differences between these themes, because these expectations were not the main focuses in this thesis.

Figure 6-1: Expectations from four case projects

Dimension	Elements
(1) Lifestyle	Living near to family members and friends; improving housing conditions and residential situations; addressing affordable housing need
(2) Community	Strengthening social capital of the young adult's generation, the neighbourhood and networks
(3) Local economy	Increasing village collective economy and maintaining markets
(4) Activities	Providing employment, local shops (coffee shops, pubs, retails and post office), public transport, school and other welfare services
(5) Built environment	Using empty land and improving housing conditions
(6) Natural environment	Improving living environments

(Source: The author; amended from Barton and Grant's (2006) health map)

The expectations in Figure 6-1 were individually and combinedly used to promote collaborative housing by the core groups in each project, in order to recruit members and to gain their support. These promotion strategies corroborated the idea of Ostrom (1990, p. 194), who highlights the importance of information available to individuals in affecting their perceptions about the benefits derived from their participatory actions, especially in comparison with substitute choices and rules. The most important finding was the adopted strategy of promoting various expected benefits in influencing residents to join local community collaborative housing groups given their different preferences, as argued below:

> '*But I think you probably start always with a very small nucleus of people who have a commonality of purpose really. And then that [group] grows as knowledge of the project or knowledge of the fact that there is a community benefit society in the village grows, so the number of potential members grows as well. And particularly the more projects you have got going on, the more opportunities you*

are going to draw people in because some people might be interested in one thing, but not in another. But they will join in [the group] anyway, because they want to work for the thing they are interested in.'

*(*WN4, [redacted] NCLT, on 23 May 2018).

This argument confirmed the result of the importance of attachment to place for core collaborative housing members who cared about and were familiar with local affairs, but also demonstrated that individual differences in motivation could be usefully acknowledged. Regarding the relationship of collaborative housing to lifestyle highlighted in the literature (Lang et al., 2018; Tummers, 2016), there was an interesting finding concerning the meaning of affordability of housing:

[I: 'Why are people interested in these projects [the BCLT activity and extensive self-build and customer-built housing in Bristol]?]

'A few reasons. One is house prices that are going up and up. People [in affordable housing need] are looking at different community-based housing projects. Another reason is that people are looking for a connection. They were looking for community and being part of something. There is a desire for people to influence the home they live in. You will not have that opportunity if you buy an existing house. For example, they can change the kitchen or decorate it (through the CLT) and they will make it. They (real estate developers) will not care (about) it. A self-build is like an extension of that housing development.'

(B10, [redacted] Ecomotive and Ashley Vale Action Group, on 27 August 2018).

This argument indicated that housing, as a capital-intensive industry, affected citizens' choices in housing conditions and residential environments to some extent, especially

under the market mechanism. It limited citizens' capabilities to achieve their changing housing and residential aspirations and ideas over time.

One common factor, the viability of the project, affected the participatory decision-making of core groups of the four cases' projects (mainly core members in the BCLT, WCLT, TJC projects and core and main active members in the SYC project) (McKee, 2009). Evaluating the collaborative housing project and surrounding environments was informed via the testimony of the core members, which included many descriptions about the assessment criteria of the projects. Regarding the two English contexts, the availability of government grants was one of the crucial elements. For example, the BCLT chair described the situation that occurred when he inquired as to the self-manager's opinion about whether the government should take over the BCLT project, the self-manager said, '*This project is feasible; we can, we can do it*'. A possible explanation for this communication might be related to the fact that the government set £300,000 as a CLT capital fund to support the predevelopment work of BCLT in 2010 (Bristol City council, 2014). Another example was that when asking how the secretary knew the NCLT project in the WCLT case, the interviewee reported:

> *'He (a person from the WCLT) came to the parish council that was the first time I had ever heard of community land trust, but I just thought that was a really good idea… He came to talk to the parish council because he knew that the parish council had done a housing need survey. And they were looking for a way to progress that housing scheme… He talked to them (persons form the parish council) about the fact that ''by having a community land trust, you could benefit from government funds through the Homes and Communities Agencies for*

community-led housing''. And so, he talked to the parish council about that being a potential way forward to be able to provide the houses'.

(WN4, [redacted] NCLT, on 23 May 2018).

Regarding two Chinese cases, protecting the collective interest among core and active members was the primary signal in influencing their participatory actions. For example, the successful collaborative housing project organised by Mr X was a crucial factor in the SYC, as stated below:

'He (Mr X) has a successful precedent in Jiangsu, and I read the report on the Internet. So, I think it is still more trustworthy. And for me, I cannot do anything for buying a (commercial) housing unit. I cannot. I just have a little money. What suggestions could you give to me (to buy a housing unit)? Right? If I follow the normal approach to buy a housing unit (on the market), until now, I could not make enough money (including personal savings and borrowing the money) for the down payment. But now I am fully capable and can get a housing unit. I think this is right, is not it? I do not have any other better way.'

(S4, SYC active member, on 4 January 2018).

The rural TJC case also mentioned multiple plan adjustments to meet over 70% of village representatives' agreements. Given that ideas of collaborative housing were new to societies, the multiple-benefit-based promotion strategy was important to form large-scale community support, and to reduce local oppositions; this was particularly the case in the two rural cases given the smaller-scale demographic contexts and affordable housing shortages that were not as prevalent in the urban examples. These results, based on cost-and-benefit thinking, matched the studies in analysing how people made

decisions about collective actions (Mantzavinos et al., 2004; Ostrom, 1990; Fitzpatrick, 2018).

6.2.2 Collaborative and business partners

The local characteristic of a collaborative or a business partner who was either in the local geographic area or had a close link with the local village or city was an interesting finding, regardless of various approaches to linking with business as applied across our four cases (Figure 6-2). Figure 6-2 shows three main approaches to linking with collaborative and business partners under their local links: (1) informal work, family ties and friendships, (2) organisational linkages and co-operation and (3) competency ties in local markets. The informal work tie indicated that the local community collaborative housing members or the initiator, BCC, used their structural work positions to provide the opportunities for partnerships, such as Resonance (see the B8's statement in p. 274) and Ecomotive, in the BCLT case. Organisational linkages and co-operation referred to the situations that structural values were close and complementary, such as for local non-for-profit sectors. Competency ties in local markets meant local suppliers for certain products and services, such as construction groups. These results in Figure 6-2 were analysed from the perspective of the interviewed local community collaborative housing members given their leading roles. One should be cautious given the possible bias in these responses, which might be different perspectives from other parties. The four case projects presented the importance of social capital, particularly individual and organisational relationships and networks, to unlock and mobilise social and natural resources for the development (Lang and Novy, 2014; Fromm, 2012).

Figure 6-2: Purposes of partnerships and approaches to partners

Cases	**Purposes of Partnerships (approaches to partners)**			
	Land	Finance	Construction skills	Expertise
BCLT	Bristol City Council *(Political support)*	Bristol City Council *(Political support)*	Jones Building Group of Protest *(Competency tie in the local market)*	United Communities *(Organisation linkages & co-operation)*
		Homes England (Affordable housing grants)	Ecomotive *(Informal tie)*	Bristol City Council *(Political support)*
		Community Land & Finance CIC *(informal tie)*		
WCLT	NCLT landowner with the commitment to the CLT model *(Attachment to place and sense of community)*	District Council *(Political support)*	Brookvale in NCLT *(Competency tie in the local market)*	Yarlington Housing Association *(Organisation linkages & co-operation)*
		Homes England (*Affordable housing grants)*		WCA *(The CLT promotor and funded by local governments)*
	SCLT Landowner *(Attachment to place and sense of community)*	District Council *(Political support)*	CG Fry &Son *(Competency tie in the local market)*	Hastoe Housing Association *(Organisation linkages & co-operation)*
		Homes England (*Affordable housing grants)*		WCA *(The CLT promotor and funded by local governments)*
		Tudor Trust & Walbridge Trust *(Organisation linkages & co-operation)*		Community Finance Solutions (*Organisation linkages & co-operation*)
SYC	Shanghai Municipal Government *(Administrative procedure)*	Shanghai Hezhu Real Estate Co. Ltd *(Leadership & roles)*	Zhejiang Shanghai Construction Group Cp. Ltd *(Organisational linkages & co-operation)*	Shanghai Hezhu Real Estate Co. Ltd *(Leadership & roles)*
		34 participants *(Attachment to place)*		34 participants *(Attachment to place)*
TJC	Village collective (Self-organised; leadership & roles)	Village collective assets *(Leadership & roles)*	A local construction company *(Organisational linkages & co-operation)*	Dabizhuang Township *(Political support)*
	Villagers' leasing land *(Sense of village and attachment to village)*	Nanhe buyers' housing payments *(Sense of village and attachment to village)*		
	Doling District Government *(Administrative procedure)*	Non-Nanhe buyers' housing payments *(informal ties)*		
	Tianjin Municipal Government *(Political negotiations)*	A local construction company *(Organisational linkages & co-operation)*		

(Colour Code: blue: 'initiators'; orange: 'collaborative partners'; yellow: 'business partners'; green: 'legal housing agency'. The colour code is the same in the development patterns of four cases in Chapter 5.)

(Source: The author)

One common possible explanation of the four case projects' approaches is that the trusted information built on the local links played an essential role in influencing collaborative and business partners' perceptions and participatory behaviours, which presented as two aspects. Firstly, it had the causal power to enable a collaborative/business partner to believe that they held relatively situational information about the project, particularly for working with a group lacking historical (including payment and credit) information. Secondly, it held the causal power in mediating the conflicts arising from the enactment of the new idea. These two arguments were exemplified in the statements of a local authority, loaner and construction group (Figure 6-3). According to Figure 6-3, it can be seen that trust was built on these local links and represented as a right to safety for collaborative housing supporters: local community collaborative housing groups, collaborative partners and business partners concerning the interest-risk thinking pattern. Learning from Granovetter's (1985) concept of social embeddedness, the enactment of collaborative housing was embedded in these three types of local-link-based relationships and structures mentioned above. This social embeddedness theory is useful for explaining the development of small businesses regarding the importance of social relationships and networks in reducing risks and having safeguards (Granovetter, 1985). In this thesis, it referred to the small-scale housing project, in which triangulated information sources built on local links to improve the viability and reliability of projects and brought formal and informal risk management approaches for collaborative and business partners. This theory also explained the SPH issue in the TJC case to some extent (Granovetter, 1985). According to the empirical investigations, the friendship and kinship links with Nanhe villagers contributed to the powers for non-Nanhe villagers in buying the TJC housing, rather than that in other villages that might be geographically closer to their original

residential sites.

Figure 6-3: Statements about the roles of local links

Resources	Statements
Partnership (local authority)	*'We try to work with all [housing originations] in [good] partnership…There might be certain occasions that we have issues concerning housing allocation. I have had to say now that [the CLT ideas of housing allocation] will not work. That would cause legal problems. Actually, as a council, we cannot support that [the housing allocation plan required by a local housing group that does not meet existing regulations]. But normally by that stage, if you build up a relationship with them, they will say, ''that is fine. We know [the housing users that] you selected might be. We know you are acting in our best interest''. And [during the whole project] they might not be terribly happy.'* (WS1, [redacted] leader from West Dorset District Council, on 11 September 2018).
Finance	*'So, I think what was found was [that] there was a lack of finance for community groups without track record or history. So, there was no repayment history or track record for conventional lenders to review and be comfortable with their due diligence. So, it really is quite a risky lending activity if you [a CLT group] have not got a positive history [for a lender] to look back on'.* (B8, member [redacted] from Resonance, on 26 July 2018).
Construction skill	*'They have land. They cannot avoid legal liability. And where could they go and hide? If they fail, at least, I can use their land for my business.'* (T5, [redacted] the construction company, on 27 January 2018).

(Source: The author)

The viability of the collaborative housing project was proposed as a possible explanation for the surprising result of the 'local link'. Across the four cases, when asked about how they decided to engage in the collaborative housing projects, collaborative and business partners interestingly stated their essential 'local' features, such as local housing providers. Meanwhile, they also mentioned very detailed local features, such as housing

shortage, harmonious and voluntary city/village contexts and political/social/family support, as their criteria. Another good example of the viability of the project was seen in the case of the use of community/public land for affordable housing provision, as argued that:

> *[I: What do you think about the difference between private land and common ground or ground lease of the CLT model for affordable housing provision?]*
>
> *'We just need to keep on it to make sure that the 125-year lease is a long lease for the housing association to join in too. And we need to make sure that does not put them off…. I think we need to be a little bit careful when moving forward to make sure it does not stop some of the investment going in'.*
>
> (WS1, [redacted] leader from West Dorset District Council, on 11 September 2018).

This argument highlighted the role of the leasing time in turning outsiders to collaborative partners.

The flexible stewardship of a collaborative housing project was observed as a strategy and even a pattern of transformation, not just about mutual interests and goals for individual and organisational collaborative housing supporters. In the two Chinese self-organised collaborative housing models, core and active members were analysed as collaborative partners argued above. In the English cases, there were two types of complementary roles for collaborative partners. The first one was the complementary relationship between the local community collaborative housing group and HA, as described as follows:

'We are all very similar-minded people and we want to achieve something similar wishes because we have the shared aim of the project. It [Partnership] has never presented itself as one person or one organisation overriding the other organisation. We have different strengths. Different persons within the organisations have different specialities. So, some people will know more about renewable energy; some people would know more about construction; some would know more about finance. And so together we just share decision-making and work together in a complementary way.'

(B5, [redacted] officer from United Communities, on 7 August 2018).

This finding was also reported by Moore (2018) and provided evidence for Czischke's (2018) hypothesis that collaborative partners, particularly housing providers, with similar values to local collaborative housing members, were willing to become involved in the projects. The second one was among the umbrella organisation, local community collaborative housing group and different-level councils:

[I: How is your relationship to the Wessex Community Assets?]

'We do a lot of work with them. We have signed up to a partnership agreement with them with the sum of the funding we were given to make sure the capacity to support CLTs. Now there are three councils. And they support all of them. And I think what we tend to find is a partnership between them. The community and the council work really well. They can provide a lot of expertise; they need support from the council, and we all need communities on board. So that sort of partnership works really well. See, I still do a lot of work with them'.

(WS1, [redacted] leader from West Dorset District Council, on 11 September 2018).

This result corroborated the intention of local housing-related stakeholders in commonly governing housing and land when engaging with collaborative housing and pooling resources for production in line with its flexible stewardship. Collaborative housing provided an opportunity for local authorities and residents to build good relationships in the two English cases.

Similarly, in the TJC case, the political element, the harmonious and solidary village, was one of the key factors for access to the help of the local Dabizhuang Township, for instance managing administrative processes for the higher-level Dongli District and Tianjin Municipal governments in the TJC project. Furthermore, the harmonious and solidary village indicated the high-level voluntary spirit among villagers and the strong leadership in the village committee, which was seen as the land negotiation for this two-stage project. This was also evident in the case of the surrounding villages that faced similar housing shortage issues:

'They also wanted to build multi-storey buildings. However, how could the government approve it? (They knew that) If they did it, they made troubles for themselves…. In their villages, (village leaders) they opposed each other. Today, you are the leader. Tomorrow is me. How could villages develop? They did not have shared minds (for village sustainable development)'.

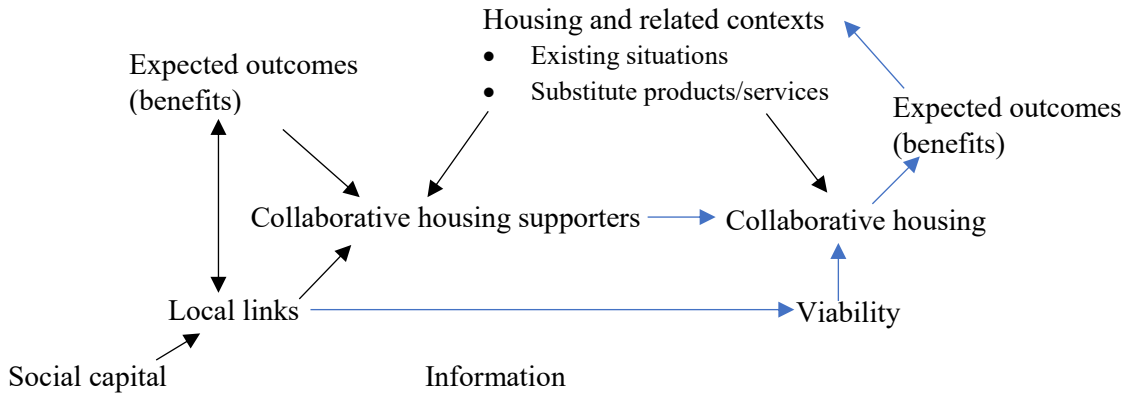
(T4, member of the village committee [redacted], on 26 January 2018).

A good illustration was that Nanhe village, the only village in the local area to apply for the construction land when the government made the 1990-2005 land-use plan. As stated in Chapter 4, the rural construction land was one of the key pre-conditions of policies related to self-help housing.

6.2.3 Causal collaboration mechanisms among collaborative housing supporters

The multiple case studies found two common mechanisms in linking collaborative housing supporters (local community collaborative housing groups, collaborative partners and business partners) to the ideas of collaborative housing and associated projects (Figure 6-4): (1) local links, (2) expected benefits and (3) the viability of collaborative housing projects. These three themes commonly enabled collaborative housing supporters themselves to interlink with ideas and associated projects. National and local housing policies and related contexts affected their perceptions about the future situations of the local areas linked to them. Their support and participatory behaviours were predicted to reduce the loss or improve the gains in the future community/regional developments, which were affected by the affordable housing shortage and related elements. The local links enabled collaborative housing supporters to (1) discover information about collaborative housing projects, (2) analyse their credentials, (3) pool their resources (material and non-material) and (4) manage uncertainty in implementing projects to achieve their outcomes.

Figure 6-4: Causal mechanism of forming a multiple-stakeholder collaboration



(The black link refers to the existing structure of housing and related contexts contributing to the collaborative housing supporters' links with the collaborative housing concept. The blue line refers to the viability analysis that proactively linked collaborative housing supporters and collaborative housing projects) (Source: The author)

6.3 Comparing the redistribution of decentralised affordable housing provision work

This section provides evidence of the performance of decentralised affordable housing provision organised in the community/family sector in the two countries, as analysed in Chapter 4. Section 6.3.1 compares the provision responsibilities. Section 6.3.2 considers the participatory contexts of local community collaborative housing members.

6.3.1 Comparing provision responsibilities among collaborative housing supporters

In the two English cases, the supportive attitudes and grants for the government and the third sector significantly affected and partly determined their occurrence regarding pre-

development contexts. The government was the major party bearing the investment risk for the projects, while local community collaborative housing groups (including real housing users), as providers, were not financial risk bearers at the beginning of the projects. A good example of putting financial resources in the community sector to deliver affordable housing projects is evident in the argument that:

> '*But the CLT movement is one way of community-led housing that can be delivered at the moment, certainly in the West of England. It [CLT] is the primary way. And more and more communities are setting up [the idea of] common ground in order to deliver affordable housing because the government has in recent years fed an enormous amount of money into the whole community-led housing sector. So yes, the CLT movement is growing hugely. So, the government demands that [community-led housing]. Community-led housing should happen.*'
>
> (WN4, [redacted] NCLT, on 23 May 2018).

Apart from the support in resources for production, such as land and finance, the BCLT case also showed the role of the state in organising local core collaborative housing groups, particularly core members, in promoting the development:

> *'[I: Why are you setting up this CLT housing sector rather than allowing housing associations to do more concerning delivering affordable housing?]*
>
> *We do both. The housing associations are supporting and helping the community-led housing organisations. So, I do not think it is an either/or [thing].'*
>
> (B6, Cabinet Member [redacted] of Bristol City Council, on 25 July 2019).

The two English cases had two different partnership contexts between CLTs and HAs and within CLTs. In the first Fishponds Road that was analysed in the BCLT case,

> *'it is twelve homes, and Bristol CLT built [developed] them all, and United Communities [HA]'s role was more to help them with organisational capacity and management services…The second [Shaldon Road] project is a partnership development… It is very much a business partnership really: we each invest in half the money and the resources. In the end, we each take half of the homes.'*
>
> (B5, [redacted] officer from United Communities, on 7 August 2018).

In the WCLT case, HAs had more in-depth participation and was also in charge of the construction process, including selecting the construction groups and materials:

> *'And we have to be realistic about where the housing association felt comfortable. Yes, they know that bricks and mortar work, they can guarantee it for a hundred years or whatever. Yes, they just won at the point where they could guarantee, but these new materials would deliver what they (housing users) wanted'*.
>
> (WN4, [redacted] NCLT, on 23 May 2018).

The comparative analysis of the BCLT and WCLT indicated the influences of different partnerships on provision experiences and associated consequences in Sections 6.4.3.

Regarding the decentralisation trend in China, the market (small real estate companies) and the community/family sectors played important roles in these two self-help housing models. Both collaborative housing providers and residents were responsible for the financial risks at the beginning. Family supports, such as in decision-making concerning

participation and funding, particularly stimulated the SYC and TJC housing production. This was exemplified in the statement of the last person who joined in the SYC project:

> *'When I first joined this (SYC project), my wealth management product (financial product) had not expired. I am the last one and time was limited (The recruiting member process ended. The land was bid for. The woman came to Mr X and requested participation.) My brother gave me 300,000 yuan because I still lacked a little money. My brother has a better vision. His business does well. I asked him at the time. He especially helped me analyse (this SYC plan) and took us to check (the site at Dishui Lake). He knew more about Dishui Lake. And he said that there (Dishui Lake) is still a very promising place'.*
>
> (S6, SYC active member, on 2 January 2018).

Meanwhile, this multiple case analysis found dual relationships between collaborative housing and the urban policy-oriented housing system. Firstly, in the SYC case, the Chinese 'mianzi' culture and a high market housing price pressure led certain local Shanghai citizens to engage with this collaborative housing idea.

> *'Shanghai citizens love 'mianzi' and are not willing to disclose how much money they have and [that they are not willing to] live in policy-oriented housing and communities'.*
>
> (S2, [redacted] Shanghai Hezhu Company, on 27 December 2018).

The disclosure of private economic and residential situations to the public affected refers to personal 'mianzi' that indicated well-established social positions or behavioural credibility and successful performance within social networks over time (Hwang, 1987). This result was one of the factors affecting the decision-making of the urban low-income

population to live in urban villages, rather than policy-oriented housing communities. This was because of no actual collaborative housing project or information available to these groups (see the T6's argument of '*If a person had money, who would buy a rural small property housing unit?'* in p. 182) (Tang, 2015). The second one was the relationship of the local policy-oriented housing system and policies to citizens with local hukou, especially for new migrating citizens, as argued here:

> *'I do not know much about this policy, but this kind of policy-oriented housing you are talking about seems to be right for that kind of local people. It is not to say that you have a local hukou, which means there you are native. The ID card number is different, which shows you are from other cities. Well, I do not understand this specific concrete policy. But it seems that I feel that those who apply for affordable housing are generally local. Generally speaking, the economic situation is relatively poor, and older people generally like this. Policy-oriented housing has been done every year, but I do not think it has good quality…. I feel that I am not qualified to do it, although I have a Shanghai hukou'.*
>
> (S4, SYC active member, on 4 January 2018).

These results, mianly in the SYC case, showed that the incomplete urban housing system and associated land and finance policies led to the individual housing responsibility. The continuous institutionalization and marketisation of urban housing structures improved the legalisation of resources, land, finance and participants, which in turn provided the opportunities for citizens who were attached to Shanghai to enact collaborative housing within the market mechanism. It further reduced the possibility of state intervention and the risk of illegal housing construction.

6.3.2 Participatory performance of local community collaborative housing members

Citizen participation and engagement is an important theme of collaborative housing (Lang and Mullins, 2019; Lang et al., 2018; Moore and Mullins, 2013 and 2018; Fitzpatrick, 2018; Archer, 2016; Jarvis, 2015a; 2015b). However, little is known about how to make decentralised affordable housing provision organised in civil societies more efficient (Williams, 2018; Tummers, 2016). More importantly, it is necessary to understand how to reduce the risk for citizens to engage with these ideas given the professionalisation of housing provision as highlighted in Chapter 2. So, this section qualitatively analyses three contexts to explore when decentralised affordable housing provision is efficient and when it is not in civil societies:

(1) in which ways four local community collaborative housing groups enacted ideas by looking at their contributed resources;
(2) what risks they faced by analysing their participatory behaviours and approaches;
(3) where those challenges and risks were from.

There were four common types of personal resources highlighted by interviewed local community collaborative housing members (including housing users), which affected the different performance of projects:

(1) Capabilities (such as leadership, access to resources and resilience);
(2) Time (such as time to expend energy, and willingness to give time to learn and contribute);
(3) Knowledge (such as professional and local knowledge, and practical skills);

(4) Finance (personal/family economic contexts).

The first three combined factors had a positive influence on the places where collaborative housing projects progressed in practice:

> *'There has to be a kind of thing and maybe it is leadership. It is like a quality of really wanting to make changes happen.… By fortune, we have that [practitioner] within our neighbourhood. We have the kind of people who are very positive and have ambitions to make it done. But not all communities find it easy to have that kind of people. That does not just require passion [of the practitioner]. They [practitioners] have to have time available and must have certain knowledge to give them [participants] confidence so that they [participants] could know what they need and look for the supports they need.'*
>
> (B10, [redacted] Ecomotive and Ashley Vale Action Group, on 27 August 2018).

These results supported previous research in the field of social change, which showed the importance of social entrepreneurs for the development of organisations and institutions (Scott, 2013; North, 2012).

Given the collaborative housing provision progresses over time, its interaction with personal/organisational resources was an essential theme across our four cases. For citizens, for example,

> '*some communities do not want to have community land trusts because it involves [much time] and spends quite a lot of time on the project. They might want some affordable housing [units], but they might not feel they have got the time to dedicate'*.

(WS1, [redacted] leader from West Dorset District Council, on 11 September 2018).

For collaborative housing supporters*:*

> *'I think what we have learned from the first Norton Sub Hamdon [project] that was our first CLT. We probably underestimated to which extent we had to educate the local community [NCLT] on the concept of what a CLT was…. The common issue [of more than three CLT projects] is as I described a lot, yet [is that concerning] more time, they [CLT projects] take longer and tend to be more expensive'.*
>
> (WN7, [redacted] Yarlington Housing Association, on 17 October 2018).

The theme of time was also seen in much of the current literature on collaborative/collective actions, including concerning collaborative housing (Jarvis, 2015a; Olson, 2009; Archer, 2016; Tummers, 2016; Bunce, 2016).

This qualitative multiple case analysis found two types of common relationships between time and provision for local community collaborative housing members: (1) position-based relationships, (2) risk-based relationships. Position-based relationships referred to two common situations for local community collaborative housing members: under and over collaboration. Under collaboration indicated that only parts of local collaborative housing members positively engaged with the projects over time, as argued that *'some stakeholders mention a lot [about the SYC project], but I am mainly focusing on [my normal] work…*' (S4, SYC active member, on 4 January 2018.). It was the challenge in two volunteer-based English cases, as stated here:

'Personally, I do not have enough hours in the day to get all of the things done that I and we need to get done, so trying to manage my time as effectively as possible, I think the organisation would love to be able to afford to hire staff, but we just do not have the core funding to be able to do that'.

(B9, Board member of BCLT [redacted], on 8 August 2018).

Over collaboration happened in complex communication, consultation and negotiation processes in specific implementations (see the arguments above and below) (Moore, 2018; Fitzpatrick, 2018; Thompson, 2015).

There were two common reasons across the four cases. The first one was a lack of clarity in the definitions of rights and responsibilities within local community collaborative housing members (including housing users) when developing projects:

'While you help me [people who are interested] in some ways, which takes power away from the individuals who are interested. They [housing users] are selected by [the] community land trust rather than self-selecting…but that is a challenge because a kind of the model that I see in Bristol as well is that individuals just get together themselves and say, "we want to do this"'.

(B7, BCLT [redacted] resident, on 20 July 2018).

This statement also highlighted the importance of outcomes of projects (housing products and communities) underpinned by the participatory purposes, particularly for participating housing users, which was also seen in the Chinese cases, for example,

'After bidding for the land, there were different opinions. Some people said that they should not do the project. They simply sold the land and earned some money to buy housing units. We and Mr X always disagreed with it because we were working together to build housing in order to allow people to buy a housing unit that they could afford. The other one was the structure of the housing. All rooms face south, which is quite attractive…. Then everyone finally unified their thoughts, which is they still were willing to build houses'.

(S5, SYC active member [redacted], on 05 January 2018).

Secondly, external environments and associated changes, such as the barriers between the national and local policies, caused uncertainties in production, which challenged the initial understanding of the projects. A good example was seen in the influence of the planning permission on the provision work in Figure 6-5.

Figure 6-5: Position-based relationships: Influences of the planning permission

BCLT	SYC
''We really do not want a lot of car parking [space]. '[Housing association said] I am sorry you will not get planning permission'. So that was the first battle we lost with them. So, we said ok. We have a big car park here. We do not want cars driving around on the streets where children play and people talk and drink tea in the evening sun there''. (B3, [redacted] Bristol CLT, on 24 July 2018).	*'I did not expect that it was so complicated because it [housing and community design] should meet the government's requirement. It was hard for the government to accept it if you did not well. Then it was time. Then it is further delayed.'* (S5, SYC active member [redacted], on 5 January 2018).

(Source: The author)

The argument in the BCLT case above also showed that collaborative housing supporters had different ideas about the implementation of projects given the different positions (including their pre-existing knowledge), which caused the 'you versus me' thinking pattern. Local communities collaborative housing members, consequently, changed their participatory behaviours concerning their purposes to some extent, as described below:

> *[I: Were there any people who were initially very enthusiastic, but then withdraw from the participation]*
>
> *'X [the participant] is still involved. But he is much more hands of these days [for a potential second project]. I think partly because he was disillusioned by the fact that the [SCLT] houses were not timber frame with straw bales. That was what he wanted [to help the SCLT to build]. He had built his own house in those materials. He knows it works….He was definitely much more involved at the beginning but then he withdrew more.'*
>
> (WS4, [redacted] SCLT, on 12 September 2018).

These two under and over collaborative challenges were the result of five types of stakeholders and their different interpretations about projects each based on their own purposes, interests and positions.

Risk-based relationships were related to the investment of four types of personal resources in local community collaborative housing members (including housing users) over time. Two types of emotional stress under the risks were found: (1) uncertainties in achieving projects and (2) fear of unexpected outcomes from projects. The former referred to the case of 'paying in vain' to expand affordable housing choices and products

in societies. For example, the SCLT chair commented, '*I say certainly if [the landowner's name] had not provided the land, it [SCLT] would not have happened. We could not find any other land*' (WS4, [redacted] SCLT, on 12 September 2018). In fact, the SCLT landowner was one of the core SYCL members and sold the land to the SCLT when the SCLT failed to find any land on the market. In the SYC case, one interviewee who attended the land action mentioned the auction date (on 17 January 2013) being close to the Chinese Spring Festival (on 9 February 2013), as a prime factor that led them to bid for the land. This argument was based on their hypothesis that 'few' real estate companies attended the auctions and that it was normal for real estate companies not to take on any new housing projects in the winter as many managers use this time for holidays. In other words, if there are many competitors, the bidding price might be higher than the SYC budget, which has a large possibility of stopping and even ending the project. Another possibility is that the government leases a large piece of land, which also affects the SYC development. Although collaborative housing initiators or key core members used their personal resources (capacities, knowledge and time) to acquire land or engaged in the projects by contributing to land resources, land contributors could provide different pieces and sizes of land with different features, such as time, to land community collaborative housing groups.

The latter referred to the case of unexpected challenges and risks through these experimental projects, which were mainly related to social relationships in their local areas. Emotional stress was particularly in line with the result of the attachment to place of local community collaborative housing members. This multiple case analysis provided two crucial insights into external emotional stress (Fitzpatrick, 2018; Jarvis, 2015b).

Firstly, they might suffer from external stress in 'not doing' anything regarding the existing housing products, opportunities and choices. The second was linked to local housing-related culture, like 'not-in-my-back-yard' for practitioners' friends who lived in the areas in English contexts (Field and Layard, 2017; Jarvis, 2015b). The weak capabilities of local community collaborative housing members in the community/family sectors was one of the main reasons. A common view regarding collaborative housing across the four cases was that '*we all lacked experiences… For building housing, at that moment, we did not feel it was so complicated*.' (S5, SYC active member [redacted], on 5 January 2018).

As the long-term development histories of the four case projects (Appendix 16), willingness to learn, willingness to contribute (commitment to the project), accepting challenges and failures and working together with different types of partners, were crucial to transform collaborative housing and develop effective strategies, they enabled projects to move forward with the statement:

> *'One barrier is you have got to be prepared to put yourself out there and learn. You cannot rely on just the knowledge you have got…. So, you have got to be prepared to learn more…. I think that is the biggest barrier. Just a lack of knowledge may be in what your time to achieve…. I think the main thing is to accept that there will be difficulties and problems, and areas to be prepared to face them. And again, as I keep saying, to work together [with different types of partners] to overcome the barriers.*
>
> (WN4, [redacted] NCLT, on 23 May 2018).

The importance of the enthusiasm of local community members to the projects was a general common view amongst collaborative and business partners. These collective responsibilities as signals of community/investors' support enhanced wider supporters' participatory confidence regarding the validity of the projects.

The different provision strategies across the four cases, indeed, revealed that different collaborative housing supporters (including housing users) had different definitions about the collaborative housing projects regarding their interests when they joined in and conducted the projects. This was exemplified by the different participatory experiences of housing users in Figure 6-6.

Figure 6-6: Different participatory experiences of housing users

BCLT	SYC
[I: Were there any self-finisher withdrawals from the participation?] *Yes. I myself withdrew after a while because it began to seem unlikely that I would be lucky to get home. ... I think maybe she is (a self-finisher) a bit worried about the work that was involved. So, she pulled out…. So, I think a lot of people throughout the process dropped out for one reason or another, partly because it (collaborative housing) was very long for persons.* (B7, BCLT [redacted] resident, on 20 July 2018).	*'You (Mr X) respect us and tell us, I am very happy, and you can have this kind of sense with us. I am very satisfied…Indeed, we only care about our housing in this respect'.* (S6, SYC active member, on 2 January 2018). *'I am actually not particularly worried about this project [SYC is a real estate project operated in the market] because I know that professional things should be done by professionals, right?'* (S4, SYC active member, on 4 January 2018).

(Source: The author)

These contrasting arguments showed that there were different types of decisions in the decentralised affordable housing provision process that collaborative housing supporters (including housing users) faced and interpreted. They highlighted the importance of understanding the relationships between participatory purposes and outcomes of collaborative housing projects, particularly for participating housing users. Meanwhile, the early involvement of housing users benefited the financial contexts of collaborative housing, such as affordability and engaging with financial partners with two statements:

(1) *'This means that we, normal persons, can participate in this real estate development project, which means that it is equivalent to enter the housing provision from the beginning. In this case, many costs and expenditures in the middle process are cost-effective, so that we have the ability to buy the house units'.*

(S4, SYC active member, on 4 January 2018).

(2) *So when the CLT has a project they need investment in, they should already have a financial model in their business plan: that might be very rough, but they will have to come to us with numbers and a plan, and we will always interrogate that [the business plan], and challenge it, test it and check it to make it meet our [standard of the project] viability'.*

(B8, member [redacted] from Resonance, on 26 July 2018).

These arguments supported the result of the viability of the project mechanism. Understanding the relationship between the nature of implementation decisions and resources for production was important to consider an efficient collaboration and redistribution for citizens collaborating to provide affordable housing to meet housing needs in responding to this research purpose.

6.4 Collaborative decision-making mechanisms

This section seeks to understand the decision-making powers in the multiple-stakeholder collaboration. Learning from the concept of CPRs (Ostrom, 1990), it first defines the shared governance rights of collaborative housing as its common-pool development resources (rights) to analyse pooling resources for production across four cases. This is followed by the causal decision mechanism of property models in Section 6.4.2 and consequences of the projects in Section 6.4.3.

6.4.1 Eight common-pool development rights

This multiple-case analysis was informed by the five types of property rights used in analysing a common-property regime*, 'access, withdrawal, management, exclusion, and alienation'* (Ostrom, 2003, p. 249-250; Schlager and Ostrom, 1992) to analyse the institutional arrangements of collaborative forms of affordable housing provision (Figure 6-7). Figure 6-8 shows the analysed eight important aspects of housing selected in this multiple case analysis based on the considerations of empirical observations and much of the literature under the four types of '*withdrawal, management, exclusion, and alienation'* rights (Czischke, 2018; Fromm, 2012; Tummers, 2016). These eight contexts were categorised as use elements and non-use elements based on their features in a housing project (Figure 6-8). Furthermore, four case projects showed the open-accessed legal entity of the common/public land, which was explained in Chapter 5. The selection of a business partner was the result of either a commonly agreed upon decision across local community collaborative housing groups and collaborative partners or from one

core party when this decision did not affect the overall development, especially the cost of the project.

Figure 6-7: Property rights in collaborative housing

Property rights	Schlager and Ostrom's (1992) common-pool resource	Contexts in collaborative housing
Access	The right to enter a defined physical area and enjoy non-subtractive benefits (e.g. hike, canoe, sit in the sun).	The right to enter the public space in the collaborative housing community.
Withdrawal	The right to obtain resource units or products of a resource system (e.g. catch fish, divert water).	The right to obtain housing units and use rights of community facilitates and utilities.
Management	The right to regulate internal use patterns and transform the resource by making improvements.	The right to design collaborative housing and community or/and manage community spaces, facilities and utilities.
Exclusion	The right to determine who will have an access right and how that right may be transferred.	The right to determine who will have the right to access and withdrawal through selling or transferring housing units and use rights of community facilitates and utilities and how that right may be sold or transferred.
Alienation	The right to sell or lease exclusion, management or withdrawal rights.	The right to sell, lease or transfer withdrawal, management and exclusion rights of the housing projects (including land).

	Full owner	Proprietor	Authorized claimant	Authorized user	Authorized entrant
Access	X	X	X	X	X
Withdrawal	X	X	X	X	
Management	X	X	X		
Exclusion	X	X			
Alienation	X				

Bundles of rights associated with positions (Source: Ostrom, 2003; p. 251)

(Source: The author)

Figure 6-8: Eight common-pool development rights

Eight common-pool development rights									
Contexts	Use elements		Non-use elements			Use elements		
	Withdrawal Right		Management Right		Exclusion Right		Alienation Right	
	(1) Housing use	(2) Community facilities and utilities	(3) Site selection	(4) Housing design (styles & materials)	(5) Housing allocation	(6) Housing disposal	(7) Common ground	(8) Housing Project
BCLT	2 BCLT housing properties	BCLT members housing users	Bristol City Council	BCLT board team	BCLT board team with 2 social housing properties allocation	BCLT board team with 2 affordable rental housing	All BCLT members and citizen members (legal entity)	United Communities Housing Association with 125 land-leasing year
	United Communities Housing Association with 10 social housing properties	Non-BCLT-member housing users		United Communities Housing Association	United Communities Housing Association with 10 social housing properties allocation	7 shared ownership housing users		
						United Communities Housing Association with 3 affordable rental housing		
WCLT	Yarlington Housing Association with all housing properties	NCLT members housing users	NCLT board team	NCLT board team	NCLT board team	Yarlington Housing Association	All NCLT members, and citizen members (legal entity)	Yarlington Housing Association with 125 land-leasing year
		Non-NCLT-member housing users	Yarlington Housing Association	Yarlington Housing Association	Yarlington Housing Association			
			South Somerset District Council		South Somerset District Council			
			WCA	WCA	WCA			
	Hastoe Housing Association with all housing properties	SCLT members housing users	SCLT board team	SCLT board team	SCLT board team	Hastoe Housing Association	All SCLT members and citizen members (legal entity)	Hastoe Housing Association with 125 land-leasing years
		Non-SCLT-member housing users	Hastoe Housing Association	Hastoe Housing Association	Hastoe Housing Association			
			West Dorset District Council		West Dorset District Council			
			WCA	WCA	WCA			
SYC	Shanghai Hezhu Real Estate Co. Ltd with 36 market residential properties and all business properties	Non-SYC member housing users (market housing users)	Shanghai Hezhu Real Estate Co. Ltd	Shanghai Hezhu Real Estate Co. Ltd	SYC member housing users will select housing units firstly based on their payment orders and then Shanghai Hezhu Real Estate Co. Ltd will sell	Market housing users (predicted)	Shanghai Municipal Government (The state)	Shanghai Hezhu Real Estate Co. Ltd with 70 land-leasing years for all 70 residential housing, 40 land-leasing years for business properties
	34 local community collaborative housing members - SYC	SYC member housing users	34 local community collaborative housing members	34 local community collaborative housing members		SYC member housing users (predicted)		

	members (34 housing properties)				the rest. (predicted)			
	Shanghai Municipal Government with 10 policy-oriented housing properties	Non- SYC member housing users (policy-oriented housing users)		Shanghai Municipal Government	Shanghai Municipal Government (predicted)	Shanghai Municipal Government (predicted)		
TJC	Nanhe village buyers	Nanhe village buyers	Nanhe village committee on behalf of all villagers	Nanhe village committee on behalf of all villagers	Nanhe village committee on behalf of buyers according to the completion order of the whole housing payment	Nanhe village buyers	Tianjin Municipal Government (The state)	Nanhe village committee on behalf of all villagers
	Non-Nanhe village buyers	Non-Nanhe village buyers				Non-Nanhe village buyers		

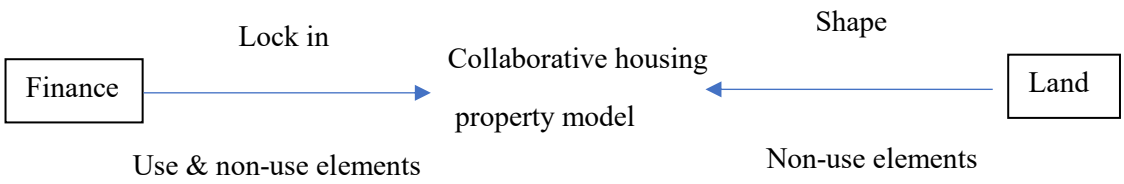
(Source: The author)

6.4.2 Causal decision mechanism of property models

Figure 6-9 shows a common causal mechanism of forming a collaborative housing property model based on the eight selected common-pool elements above (also see Figures 6-8). Finance, as power, affected use and non-use elements of the property model, while land, as power, influenced non-use elements (Figure 6-9). The holders of land and finance held dominant developing powers, which was consistent with the resource dependency theory (Pfeffer and Salancik, 2003). Regarding the two English cases, for example, the comparison showed that loans from Resonance enabled BLCT to have two properties, which also indicated that BCLT had associated rights in deciding their allocation, disposal and (project) management. Meanwhile, Resonance supervised the community design in the instalment of the energy facility, ensuring the BCLT payment capability. BCC, as the landowner, determined the current and future use of the transferred land, which regulated the affordable housing feature of these two BLCT-

owned properties. This was common to the land leasing model used in collaborative housing in other contexts, such as Redditch and Barcelona (Housing Europe, 2019; Ajuntament de Barcelona, 2016). These two volunteer-based CLT models accepted Homes England's funding and led to the HA's owned housing model. Two CLTs, as the landowner of common ground, put certain regulations on housing allocations, such as the principle of 'local' people (see Chapter 5 and Appendix 16). In the two Chinese contexts, in the self-finance SYC case, the initiator invested in most of the money and obtained a certain number of properties. Their common asset of land led to the rule that the properties will be allocated to these thirty-four active members first and then to the initiator. Meanwhile, the time order that thirty-four members saved their money into the SYC bank account was the way of allocating these thirty-four properties. This queueing principle of housing allocation was also seen in the TJC case to present the equal distribution of finance-contributed time. In the TJC case, the village collective land system defined the feature of village collective properties.

Figure 6-9: Mechanism of forming the collaborative housing property model



(Source: The author)

Collaborative housing required considerable investments and met the local planning permissions in using the land for housing. Therefore, apart from personal opinions of land and finance contributors, their positions and relations to local housing systems also provided causal powers to allow the projects to lock in specific production contexts which underpinned this land-and-finance-based property model. In England, the centralised structures of affordable housing funds and projects had the powers arising from resources and regulations for production. In China, the centralised housing (underpinning the different urban and rural land-use policies) and associated supervision contexts had causal powers in affecting these two different development patterns as analysed in Chapter 5. This shared understanding of land-and-finance-based common-pool development rights and associated mechanisms of property models was evident in the group communication between three core community members and me.

Furthermore, this causal mechanism provided a possible explanation of the point, arriving at the 'collaborative' sense between the government and housing users, who were common users of national public land in two scoping cases, London CLT and Beijing CSH (Figure 6-10). In the Beijing CSH case, housing users did not hold decision-making rights of non-use elements concerning the boundary of the designed collaborative property model. These non-use elements were related to the issues of local hukou, housing tenure and welfare that caused its non-implementation.

Figure 6-10: Common-pool collaborative housing resources and rights in the LCLT and BCSH case

<table>
<tr><th colspan="9">LCLT and BCSH: Common-pool collaborative housing resources and rights</th></tr>
<tr><td>Finance</td><td colspan="8">• LCLT: Using housing users' mortgage to buy 23 housing units.
• BCSH: Beijing urban families and their family members (age >= 30) without policy-oriented and commercial housing. The qualified families (individual) will pay an affordable price, which is paid to housing construction costs.</td></tr>
<tr><td>Land</td><td colspan="8">• LCLT: The condition of the Greater London Authority selling the land for the construction firm, Galliford Try, the land transferred to the community foundation that was set by representatives from the CLT, Peabody, and GLA. The community foundation leased the land to LCLT with 250 years for £1.
• BCSH: Beijing government provides construction lands</td></tr>
<tr><td>Housing</td><td colspan="8">• LCLT: 23 units were sold to the housing users who were LCLT members based on the local mediate-income principle rather than the market value.
• BCSH: Non-implementation</td></tr>
<tr><td rowspan="3">Contexts</td><td colspan="2">Use elements</td><td colspan="3">Non-use elements</td><td colspan="3">Use elements</td></tr>
<tr><td colspan="2">Withdrawal Right</td><td colspan="3">Management Right</td><td colspan="3">Exclusion Right</td></tr>
<tr><td>(1) Housing use</td><td>(2) Community use (garden & spaces)</td><td>(3) Site selection</td><td>(4) Housing design (styles & materials)</td><td>(5) Housing allocation</td><td>(6) Housing disposal</td><td>(7) Common ground</td><td>(8) Housing Project</td></tr>
<tr><td rowspan="2">LCLT</td><td>LCLT members housing users

LCLT</td><td>LCLT members housing users</td><td>LCLT member

Linden Homes, the Galliford Try group

Great London Authority</td><td>LCLT

Linden Homes, the Galliford Try group</td><td>LCLT

Great London Authority</td><td>LCLT members housing users

The future housing buyers and price (local-income based) must be agreed by LCLT.</td><td>The community foundation</td><td>LCLT with 250 land-leasing year</td></tr>
<tr><td>BCSH</td><td>Potential housing users

Beijing government</td><td>Potential housing users</td><td>Beijing government</td><td>Beijing government</td><td>Beijing government</td><td>Potential housing users who want to mover or are not qualified

The government bought the housing unit. The buyback price is based on the original amount paid by the family, and consideration of the depreciation and price level and other factors.</td><td>State-owned land</td><td>Beijing government</td></tr>
</table>

(Source: The author)

6.4.3 Consequences of collaborative housing provision

Figure 6-11 represents three main aspects of the projects' outcomes in comparison to existing (policy-oriented) affordable housing models in both countries: property, allocation and design. Apart from the SYC case that was currently dealing with the housing allocation, in the other three cases, residents had moved into the communities over a period of more than two years. This is according to the communication with the initiator Mr X on 27 April 2019. As analysed, the lock-in effect of the land-finance-structured property model, the rural exception land in the WCLT case, ensured the affordability in perpetuity without the staircasing risk; while the public land underlying the BCLT project caused seven shared-ownership housing units with the staircasing risk of 100% equity. The two English cases followed the associated policy-oriented housing price, 80% of the market level. However, the involvement of BCLT housing users in housing decoration contributed to 20% sweat equity of the selling price. In the Chinese state-owned land system, the urban SYC's residential housing was a seventy-year leasing contract in the real estate market, while the rural TJC case was village collective assets built on the village collective land. In two self-help projects, their housing prices were commonly made based on the construction costs. The scale of land affected the number of homes built. The government-piloted BCLT case depended on the transferred land. The WCLT case showed a stronger connection between local planning policies for land and housing allocations. The two Chinese cases were more about participants' economic abilities to afford the homes (to buy the land in the SYC case and to deliver housing project in the TJC case).

Figure 6-11: Outcomes of collaborative housing properties and communities

Contexts		BCLT	WCLT	SYC	TJC
Property	Housing number and property right	5 affordable rental housing (2 for BCLT; 3 for HA)	8 affordable rental housing	70 SYC housing (34 for participants; 36 for the initiator)	4 six-storey apartment building
		7 shared ownership housing with the risk in affordability in perpetuity	2 shared ownership housing with the affordability in perpetuity (up to 80% equity)	10 policy-oriented housing	86 multiple-storey apartment buildings
					All village collective property
	Housing price	80% of the market price (not reduce 'sweat equity')	80% of the market price	34 SYC members' housing: (Estimated) Less than 50% of the market price	Villagers: The construction costs
Allocation	Housing need	Not met all BCLT members' housing need	NCLT: Yes	(Estimated) Yes	Yes
			SCLT: Not met local 2 single-family's housing need based on the housing survey		
	Users	Low-to-middles class with local links	Young generation with local links	The older generation and immigrated Shanghai citizens	Villagers and persons with local links
	Principles	Local affordable housing application policy, but with the inquires of BCLT's opinions	Local affordable housing application policy	SYC members determined the policy that one participant only had one housing unit based on the self-housing precondition	Certain purpose autonomy based on villagers' economic capabilities. However, after all village buyers finishing housing purchases, people could buy the second or more housing units.
Design	Housing design (style & material) and quality	Similar to the normal HA's housing qualification (but with self-finished features)	NCLT: Higher than the normal HA's housing qualification with the local housing features	SYC housing: Innovative housing design (national patent) with the higher qualification (with the used imported materials for buildings) but with the agreements of all participants than the normal commercial housing	High qualification with the lager space between buildings than that of normal communities and taking the cost into consideration. For example, 12-storey and over buildings require two elevators. An 11-storey building needs one elevator. A 6-storey building does not need an elevator.
			SCLT: Similar to the normal HA's housing qualification		
	Community design	Low-cost energy facility	Similar to the normal HA's affordable housing community	The new enclosure layout and open block	Similar to the normal real estate community, but with one more advantage in the use of geothermal water

(Source: The author)

In comparison with the long-term housing tenures in the two Chinese cases, the short-term (five-year) housing tenures were observed to have a potential negative influence on exit costs for housing users who had participated in housing design and decoration. This was due to the loss of time and energy donated to the self-finished work and time spent relationship building with neighbours in the BCLT case, as described:

> *'But for me, it was really tricky. It is very difficult. I moved into a house that was what I had helped to build. It gave me a sense, much more of a sense of a stake in the property. And it gave me a sense that it was genuinely my home for the long term…. Five years [in the current leasing contract]. It seems like a good amount of time. Yes. But what I wanted was a lifetime tenancy, yes, to make me feel safe. So, to that extent, my house and needs will be wholly met. Yes. So, I gave that feedback to the CLT board. I think that they should change the tenancies so that the renters have lifetime tenancies because CLT is making a community… My home was hanging above me.'*
>
> (B7, BCLT [redacted] resident, on 20 July 2018).

The direct involvement of housing users and persons having close relationships to housing users in housing and community design was required in three of the four cases; it was noted to have a positive impact on performance. For example, in comparing the English BCLT and SCLT projects, some original NCLT board members either had family housing issues or issues with a family member or a close friend and others. In the NCLT community, some of the housing units were built with lifetime living standards:

> '*They [some NCLT housing units] are adaptable for the changing lifestyles. If some of the homes are able quite easily to be changed to accommodate, maybe*

we [NCLT] will tell users these things. And that [lifetime living standard] is a sort of a standard, not usually existing in open market housing. But it is actually very important in the provision of affordable housing…. So, there are a lot of focuses on how a family is going to live in a house'.

(WN4, [redacted] NCLT, on 23 May 2018).

The deadline in using the government grant was a possible reason for pushing the partner HA to agree with the local NCLT group's design requirements, which led to a higher quality than normal in HA's housing qualities such as improved housing features. Therefore, it was necessary to consider the relationships between features of collaborative housing users, their participatory contexts, and housing tenures when designing relative institutional arrangements of production and consumption. This multiple case analysis suggested that a comprehensive perspective was required to deliver collaborative housing projects from planning to governance when citizens were engaged as primary participants as analysed in Section 6.3.2.

6.5 Conclusion

The combination of local links and the viability of projects in building collaboration among collaborative housing supporters was discussed in this section as the one common mechanism of positive practice across the four case studies. For local community collaborative housing groups, a central mechanism was attachment to place by core and active members who cared about and understood the local affairs and development. The relatively weak capabilities in the delivery of affordable housing in the community/family

sector and social relationships underpinned the local features having negative influences on practitioners and limited expansion of local affordable housing choices and products. An important finding was the communication strategy where core members used multiple benefits that could be obtained from the projects to recruit local collaborative housing members. For collaborative and business partners, the social embeddedness theory explained their participatory actions regarding triangulated information sources; it built on their local links improving the viability and reliability of projects and brought together formal and informal risk management approaches. Meanwhile, from the view of housing users, attachment was not necessarily to a pre-existing community, but was also about becoming part of a different (or even new) community in a specific area they were attached to across the four cases. The early involvement of housing users was the key to achieving the collaborative provision possibility for citizens to deliver decentralised affordable housing provision in the community/family sector.

Collaborative housing supporters had different interpretations about the projects' implementations behind their participatory purposes, interests and positions, which caused under and over collaborative contexts to some extent. Land and finance were crucial factors in affecting price, design and allocation. These were termed causal powers, since they influenced collaborative decision-making. In the two English cases, the government was responsible for the investment and project risk, while the two Chinese cases were two parties, housing providers and users. The fact that both English cases set rents at 80% of market value was taken as evidence of the causal powers of government to set the rules, while in China purchase prices reflected construction costs less self-help input. Chapter 7 will introduce the five-pillar framework proposed in this thesis.

CHAPTER 7: REVISITING THE FIVE PILLARS

7.1 Introduction

This chapter considers the common fundamental similarities and meanings of the five proposed pillars in making collaborative housing projects perform, despite their different settings: Actors, Partnerships, Ideas, Land and Finance. Figure 7-1 explores how the five pillars can be understood as shaping practices:

(1) Rationales: the reasons of five pillars that cause particular sets of beliefs or actions in collaborative housing projects.
(2) Mechanisms: the meanings of their core values and important roles.
(3) Indicators: the factors that show their core values and roles.
(4) Functions: how their rationales work or operate.
(5) Mechanisms: the actions that underpinned their rationales to put ideas of collaborative housing into practice.

In this chapter, the analysis of the five pillars begins with their indicators and then moves to their core meanings and rationales. Following that, it re-interprets their functions and underlying mechanisms based on the analysis in Chapters 4-6. In this way, I provide new interpretations to support the rationales and core meanings. Some results, such as leadership and attachment to place under the Actors pillar analysed in Chapter 6, will not be repeated here. Results are worked out under specific conditions and might not only be affected by the features of a single pillar. For example, the mechanism of applying local knowledge to obtain social capital under the Actors pillar was based on the condition of building trust via good relationships and partnerships under the Ideas pillar.

Figure 7-1: Fundamental similarities of the five pillars of collaborative housing across the four cases

<table>
<tr><th></th><th>Actors</th><th>Partnerships</th><th>Ideas</th><th>Land</th><th>Finance</th></tr>
<tr><td>Rationales</td><td>Collective cultural entrepreneurship</td><td>Accountable collaboration</td><td>Spatial justice for people attached to place</td><td>Use and governance</td><td>Motives, metrics and priorities</td></tr>
<tr><td>Meanings</td><td>Responsibility for local affordable housing changes</td><td>Psychological safety in decentralised decision-making</td><td>Rights to place</td><td>Protecting present and future local public/collective interest</td><td>Multiple financing strategies</td></tr>
<tr><td rowspan="4">Indicators</td><td>Housing-related backgrounds</td><td rowspan="3">Limited liability (local community collaborative housing groups)</td><td rowspan="4">(Goal-oriented development) Pragmatically providing affordable housing into localities with the regulations on land and housing uses</td><td>Empty land</td><td>Financial decision-makers</td></tr>
<tr><td>Collective decision making</td><td rowspan="3">Limited local land values with three reasons: (1) land quality, (2) existing use policies or (3) both (1) and (2)</td><td rowspan="3">Three dimensions of flexibility in finance: (1) input and exit, (2) whole and part and (3) much and little</td></tr>
<tr><td>Attachment to place</td></tr>
<tr><td>Four types of personal resources</td><td>Accountability (Collaborative housing supporters)</td></tr>
<tr><td rowspan="2">Functions</td><td rowspan="2">Improving community/ collective provision capabilities</td><td>Building trust</td><td rowspan="2">Participation of people with local links</td><td rowspan="2">Public land and governance</td><td rowspan="2">Managing cash flow based on cost-benefit analysis</td></tr>
<tr><td>Redistributing rights and responsibilities</td></tr>
<tr><td rowspan="3">Mechanisms</td><td>Applying local knowledge to obtain social capitals for provision</td><td>Participation with respective and accountable manners</td><td>Tripartite governance on common-pool development rights</td><td rowspan="3">People with local links engaging with decision-making about the living environments underpinned the land they were attached to</td><td>Thinking alternatives to financial sources and approaches</td></tr>
<tr><td>Overcoming local housing-related cultural barriers</td><td>Creating collaborative opportunities</td><td>Democratic discussion</td><td rowspan="2">Adjustable expenditures on products (housing and community)</td></tr>
<tr><td>Meeting multi-parties' interests</td></tr>
</table>

(Source: The author)

7.2 Actors: Collective cultural entrepreneurship

This Actors section focuses on the fundamental nature of local community collaborative housing groups in producing successful collaborative housing; going deeper or beyond the role of the social entrepreneur in the institutional change as analysed in Chapter 6. According to Figure 7-1, two crucial elements of local community collaborative housing groups are found: (1) the family-and-housing related culture of core members, and (2) collective making determinant decisions (such as the launch of collaborative housing and the land selection). Figure 7-2 shows the relationship between core members and the family-and-housing related culture. These core members were not the group in affordable housing need, as described in Section 5.3.5. Pistrui et al. (2001) pointed out that there was a positive correlation between family forces and enterprise relationships concerning organisational focuses and financial and non-financial support in China. This was a possible explanation for the SYC's initiator's belief in providing 'happy' housing units and for other core collaborative housing members' participatory motivations in BCLT, WCLT and TJC cases.

The collective decision-making feature of a broad array of core members (also including certain active members, particularly in the SYC case) was the nature of collaborative housing (see the argument of '*a very small nucleus of people who have a commonality of purpose really*' in p.188). The relatively weak production capabilities of local community collaborative housing groups in creating new housing ideas and leveraging social networks for (material and spiritual) support in advancing housing production process in practice are here described: '*In fact, not just about Mr X, the roles of our core partners*

are very important' (S5, SYC active member [redacted], on 5 January 2018). Therefore, collective cultural entrepreneurship was one of the fundamental conditions of collaborative housing under the Actors (local community collaborative housing members) pillar also concerning the feature of attachment to place of core and active members as analysed in Chapter 6 (Dacin et al., 2010). The concept of cultural entrepreneurship adopted in the thesis was originally from DiMaggio (1982), in which the meaning of *culture* did not only refer to the artistic related contexts, but also included the specific norms that affect social patterns of behaviours (in this thesis, collaborative participatory behaviours in affordable housing provision). The product generated from the cultural entrepreneurship was to 'establish new norms and values' (Dacin et al., 2010, p. 39). This was consistent with the idea of collaborative housing, as a vehicle, which built new relationships between housing and housing users who become housing providers and stakeholders through joining in the local community collaborative housing groups.

Figure 7-2: Core collaborative housing members' family-related housing background

Cases		Housing and related culture	Background
BCLT		The chair's daughter lived in a self-built community.	An architect.
		The self-finish manager lived in a self-built community.	An entrepreneur providing self-build services.
WCLT	NCLT	The secretary's son lived in the NCLT community.	A successful entrepreneur with a good reputation.
	SCLT	The previous chair previously was a member of the Bridport Self-Build Group	A person who worked for charitable activities for many years.
SYC		The initiator's family culture in linking with housing and social responsibility.	An entrepreneur (architecture) in the real estate industry.
TJC		The relationship of the local marriage culture to housing.	Leaders of the village committee.

(Source: The author)

Collective cultural entrepreneurship further explained that core members (including positive active members) applied local culture-related knowledge and practices in mobilising necessary resources while developing projects, as analysed in Chapter 6. For example, their cultural entrepreneurs' abilities managed the local 'cultural barriers' to recruit the local collaborative housing members from two aspects: (1) applying various sources of local knowledge to affect perceptions of people who were attached to the potential values of collaborative housing linking to local areas (2) understanding citizens who could be potentially linked to the concept of collaborative housing, which were underpinned by the mechanisms of local links and expected benefits (Robinson, 2006; Staber, 2005).

These resources were not limited to recruiting local community collaborative housing members, but also included the material resources, such as land and finance. The result of cultural entrepreneurship supported the previous investigation about the positive link between financial activities and cultural elements (Scanlon and Arrigoitatia, 2015). The two English cases argued the importance of local volunteerism culture in delivering the projects. Community support was the critical point to get government commitment across the four cases. Referring to the BCLT case, a good example was a large number of registered BCLT members in 2011; a strength that was also highlighted in an evaluation of nineteen urban CLTs (Moore et al., 2018). The failure of the pre-2010 feasibility work in Bristol might be explained by the fact that the specialist lacked the understanding of local norms, needs and values, and had no home-grown links in communication with citizens. Regarding the Chinese contexts, the dilemma between the 'mainzi' culture and housing needs of local Shanghai citizens became one of SYC business opportunities as

argued in Section 6.3.1. The rural TJC case highlighted the application of the old culture of family economic denouncement, 'class labelling' ('扣帽子'). Prevalent in the Mao Era, the village process, whereby villagers were persuaded to transfer the land to the village committee (Nakajima, 2015). Cultural entrepreneurs overcame the conflicts from local housing-related culture, such as the traditional housing style in the NCLT project.

The local community collaborative housing group is often regarded as a social enterprise, which was true in some cases, such as the large-scale projects or scaled projects facilitated by umbrella or parent organisations. However, the concepts of social enterprise and entrepreneurship were more focused on organisational and economic sustainability (Defourny and Nyssens, 2006; Wilson and Stokes, 2004; Dacin et al., 2010). In the English context, a collaborative housing project was usually on a small scale (Field and Layard, 2017; Lang and Mullins, 2019). Although NCLT and SCLT projects were implemented with the help of the same umbrella organisation, WCA, these two local community collaborative housing groups did not have any communication with each other. A similar situation was identified in a scoping interview with a CLT umbrella in the East Midlands:

> *'This occasional question is around the procedural things, things like annual general meetings…. So, we send them information about what is going on more widely. And I try not to do it very often. I do not want to overburden these groups.'*
>
> ([redacted] East Midlands community-led housing umbrella organisation, on 19 June 2018).

Collective cultural entrepreneurship was more precise to explain the application of local knowledge to improve community/collective provision capabilities and the effective enactments of the projects, especially for the newly established organisations.

7.3 Partnerships: Accountable collaboration

The section on the Partnerships pillar discusses how collaborative housing supporters, particularly the large number of local community collaborative housing members, structured their identities and roles in collaborative actions. This multiple case analysis found that the accountability of individuals and organisations was crucial in building collaborative relationships.

(1) Local community collaborative housing members

When reviewing the legal forms of collaborative housing organisations across the four case projects, an interesting finding is the role of 'limited liability' as shown in Figure 7-3. In the two English cases, not all members, including housing users, were able to repay organisational debts when delivering projects. The government agency (Homes England) and private funders were financial risk bearers. Inactive and active members found it amusing to describe the small size of their membership fees- *'£1 for a lifetime membership, so not expensive*' (B5, [redacted] officer from United Communities, 7 August 2018). On the other hand, in the two Chinese cases, core members (the initiators) were responsible for the projects, while active members were not. Active and inactive members had dealt with core members to help them withdraw their investment money. Accountability, the causal power of limited liability, enabled active

and inactive members to be comfortable with the private-equity-based finance approach to the shared goal of affordable housing provision in the two Chinese self-financing models (see Figure 5-14).

Figure 7-3: Legal forms of collaborative housing organisations

	BCLT	WCLT-NCLT& SCLT	SYC	TJC
Created organisation	Bristol CLT Limited	Norton Sub Hamdon Community Land Trust Limited & Symene CLT Limited	Shanghai Gongzhu Real Estate Co. Ltd Centre	Nanhe village business development agency
Organisation form	Community benefit society	Industrial and provident society (cooperative and community benefit society)	Limited Partnership	Village collective organisation based on the democratising principle
Formation	Not registered under the Companies Acts	Not registered under the Companies Acts	Registered under the Companies Acts	Not registered under the Companies Acts
Capital contribution	Profits only can be retained within the community	Profits can be allocated to members or retained within the community	Profits only can be allocated to members or retained within the community	Profits only can be allocated to members or retained within the community
Legal liability in organisation debts (Core, active and inactive members)	Limited to the amount they paid for their shares (£1 in BCLT and NCLT; £10 in SCLT)		The core community member took the personal assets as a guarantee to bear the investment risk of active community members; an extreme case was the bankruptcy of a core community member.	Only housing buyers were responsible for their payments if the housing project failed and the village collective was bankrupt.
			Free for inactive members	
Legal liability in organisation debts (Core, active and inactive members)	Not being able to repay organisational debts		Core members responsible for the organisational debts	Although all villagers were stakeholders of collective assets, in practice, there was not a legal entity bearing the village collective debts.
			Active members unable to repay organisational debts	
			Free for inactive members	

(Source: The author based on http://www.communitylandtrusts.org.uk/_filecache/3d8/4e6/196-introduction-to-legal-formats–for-website.pdf, Accessed: 18 June 2018.)

(2) Collaborative and business partners

Figure 7-3 also distinguishes the English from Chinese cases and highlights collective from individualist models. In the two English cases, community support based on many local community members was one of the important contexts for collaboration. Local authorities, HAs and business partners looked for indicators of community support for the projects, particularly when they made decisions about joining or supporting these ventures themselves (see the WS1's argument of '*we all need communities on board*' in p. 197-198). For example, it was evident in the measurement metric of Resonance Limited, which funded the BCLT project and wide community-led housing projects in England (see Community Land & Finance Social Impact Report 2016/17, 2017.)

In the two Chinese cases, interestingly, the initial money invested by active members in the SYC and TJC cases was unanimously named as 'earnest money' ('诚意金' in Chinese). Earnest money sent similar signals to potential supporters and influenced their perceptions. The SYC [redacted] argued the situation of raising money when he piloted his idea in the Taicang project in 2008:

> *'On August 6th, before we started in Taicang project, we recruited about a dozen people who were in housing need and invested the money in the project. So, after the 50,000 yuan was collected, the effect was very good. What was it? Like what I said, it simplified as the set of ideas that the developer took orders. The buyers gave the 'sincere funding' to force the developer to protect their rights. I told them that 50,000 yuan could be returned if they will not buy houses later because we did not care about the money for housing development. But you must show your*

sincerity. If you do not buy a housing unit, we can sell it to the wide people. But I will give you priority to let you actively participate in the project (as you invested in the money). That is what I said the idea that in collaborative housing, you do not have to pay for the money, but you could contribute to the knowledge and suggestions. Then I will sell the housing at a cheaper price and everyone will win.'

(S1, SYC [redacted], on 4 January 2018).

The fund-raising event had the following two messages: (1) building the trust and (2) clarifying rights and responsibilities between the housing provider (Mr X was seen as the local community collaborative housing member) and users (thirty-four investors were seen as collaborative housing supporters) in the SYC case. A similar case was also seen in the relationship between villagers and local authorities concerning the use right of collective land for residential housing in the TJC case. Before these two-stage constructions, the TJC village committee provided a list of the residents involved in housing and their financial stakes names (50,000 yuan per villager). This was done in order to persuade different levels of local government to approve the TJC project and to expedite the release of residential land for villagers as it presented the 'reliable and urgent' housing need.

Accountable individuals and organisations enabled them to feel 'safe' and understand the mutual relationships behind their positions and resources when interacting with one another and taking interpersonal risks concerning their local identities:

'Sometimes the CLT will say, actually we are leading this project; we want to go from that direction. And normally we will go with them. Occasionally if we worry

that it will stop something, getting planning permission, or it is cost onto problems. We will say no. But normally, and we have never had a really big dispute with the CLT because we all understand where we are coming from.'

(WS1, [redacted] leader from West Dorset District Council, on 11 September 2018).

Learning from Edmondson's (1999) idea of psychological safety, this kind of psychological safety benefited collaborative housing supporters, particularly local collaborative housing members, to present their ideas when making collaborative decisions together with the argument:

'Everyone is equal in status. No one is more important than anyone else. All of these things were not made without careful considerations, which were decided by all of us, not just me.'

(S5, SYC active member [redacted], on 5 January 2018).

From the perspective of contributing collaborative efforts, it explained the respective collaborative manners with the statement that,

'The policy has had people withdraw from it, but mostly because they just they feel they have done their share.'

(WN4, [redacted] NCLT, on 23 May 2018).

This type of accountable collaboration mirrors Jarvis's (2015a, p. 100) findings from fifteen cohousing projects across three countries which found that the involvement of professionals and their influences in 'self-created (a core group of friends)'. Cohousing projects can

> *'improve the quality of interpersonal relations and perceptions of inclusive governance [through training in non-violent communication and, where necessary, mediation or conflict resolution]'* (Jarvis, 2015a, p. 100).

Furthermore, Chapter 6 showed the clearer rights and responsibilities among local community collaborative housing groups and collaborative partners built on local links and financial investments of housing users. In the two Chinese cases, this helped them better understand the individual relationships behind their positions and resources, enabling them to form more united and understandable collaborative interpenetrations and judgements about the definitions of collaborative approaches to affordable housing provision when making collaborative decisions and actions together.

7.4 Ideas: Spatial justice for people attached to place

The Ideas pillar focused on the reasons why local community collaborative housing members (including housing users) and collaborative partners supported projects. These ideas emphasised their local links and benefits from the projects, and collaborative work with local partners. The four case projects were developed pragmatically with the clear shared goal of delivering affordable housing on common/collective land for local people in need (housing users with local links as described in Chapter 6). The uses of land and housing underpinned the projects in localities and were defined at the beginning when local community members and collaborative partners engaged with these concepts. Learning from the concepts of the right to the city (Harvey, 2003) and spatial justice (Soja, 2009; Marcuse, 2009), it is argued that collaborative housing is a device for people who

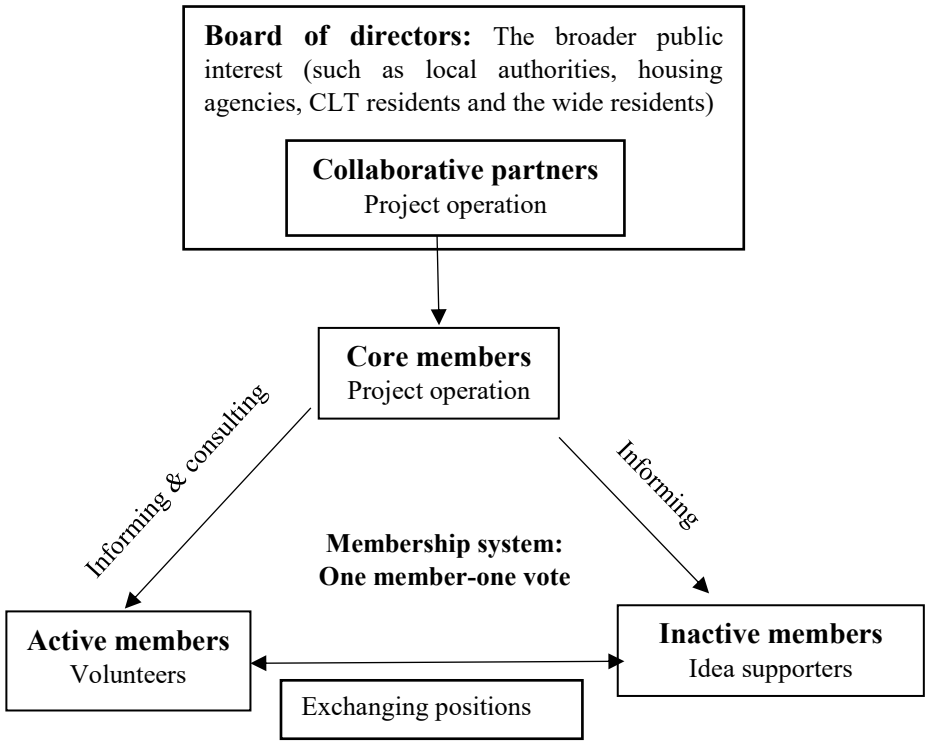
are attached to the places to act collectively in response to the decentralisation of affordable housing provision in the two countries. Regarding the common goal, these four cases performed differently to some extent, given their contrasting land and financial resources and the various regulations on their uses and benefit-sharing from the projects.

The two volunteer-based English cases highlighted the importance of citizens engaging in local affairs, rather than merely about affordable housing provision (see the WN4's statement about 'asset lock' in p. 179). CLTs, on behalf of the public, used common-pool land and benefits from the projects to keep land out of the speculative market in order to preserve housing affordability in perpetuity for local people. The two self-finance Chinese cases were more evident in the active roles of citizens in self-help to produce affordable housing to meet their own needs based on their economic capabilities in local areas. In the two Chinese cases, local members had more rights in controlling the projects and shaping their communities than those of the two English cases, as analysed in Chapter 6.

Across the four cases, two common fundamental principles in managing collaboration can be seen: (1) governance and (2) democratic discussion. Regarding tripartite governance, in the English CLT cases three main governance constituencies were supervising both the housing and the present and future use of the common land: (1) local authorities (including organisations on behalf of them), (2) local community collaborative housing members (project residents); (3) the wider public. The formation of these three constituencies was relevant to the national land ownership system. In the English national

land system, the land was either in the public (like the BLCT case) or the private sector (like the WCLT case). The CLT governance structures (Figure 7-4) enabled collaborative partners, particularly local authorities and HAs, local community collaborative housing members (including landowners), and the wider public, to supervise collaborative housing operations. The common land underpinned the projects through the CLT membership system (see the WS1's argument of '*we all need communities on board*' in p. 197-198).

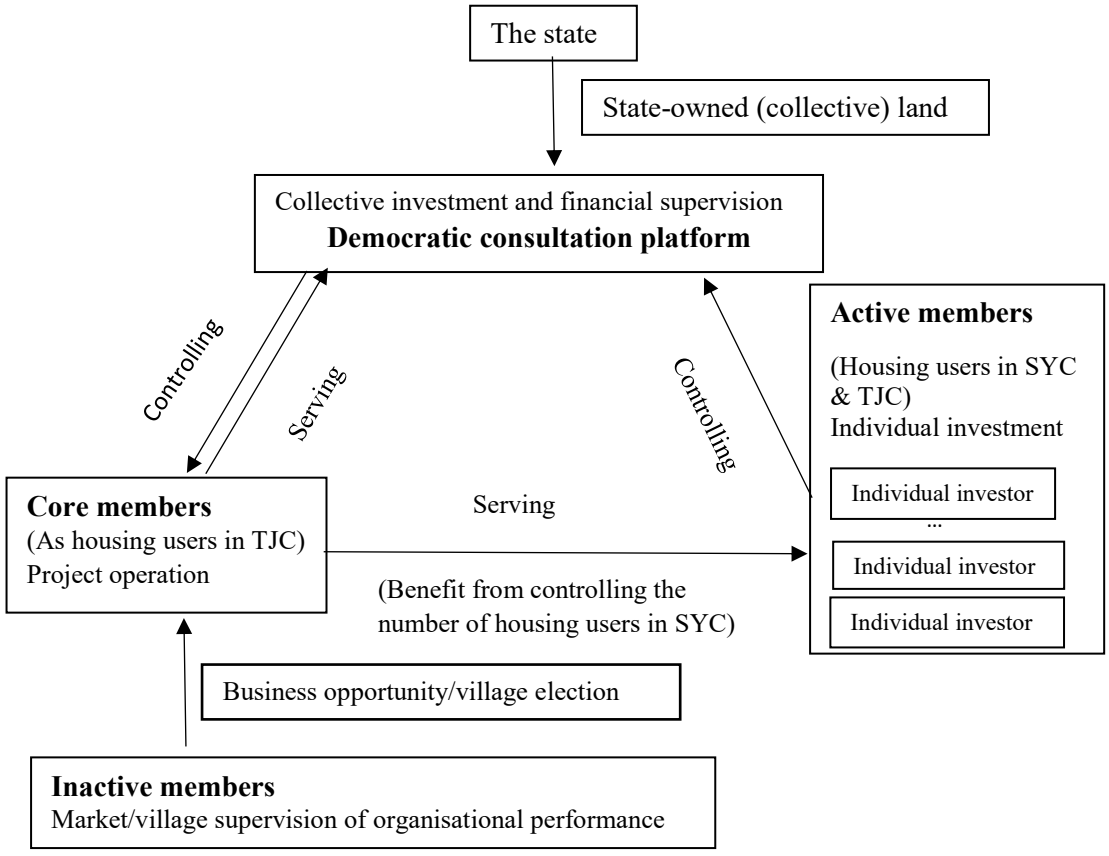
Figure 7-4: The stewardship pattern of common-pool collaborative housing development rights in the two English cases



(Source: The author)

In the two Chinese cases, the state-owned land (including collective land) system naturally structured the tripartite governance pattern also with three constituencies (Figure 7-5). As analysed in Chapter 5, the right to use state-owned land for collaborative housing indicated the state governance on these two collaborative housing projects. In the TJC project, a common view amongst interviewees was that *'the government turns a blind eye to the small property housing issues. Otherwise, there is no place for people (citizens and wide villagers) to live'*. (T4, member of the village committee [redacted], on 27 January 2018).

Figure 7-5: The stewardship pattern of common-pool collaborative housing development rights in the two Chinese cases



(Source: The author)

Surprisingly, in the two Chinese cases, both core and active community members created the new (SYC) or used the existing (TJC) third-party democratic consultation platforms to collectively control collaborative housing projects. Inactive community members played essential roles in supervising core members' performance in these two cases. In the SYC project, it was expressed as the market mechanism, in which the initiator needed to consider future business opportunity by building his corporate reputation. The TJC case highlighted the village election using a mechanism built on the collective land system. Therefore, in both countries, tripartite governance played a crucial role in stewarding common-pool collaborative housing rights to perform the decentralised collaborative housing decision-making in an accountable collaborative manner in line with the national land ownership system, which confirmed the hypothesis of the thesis as proposed by the similar land governance idea in Chapter 1.

Across the four cases, the second common attribute of the collaborative governance structure was flexibility behind their legal organisational forms explained in Figure 7-3, which contained three typical features, regardless of various circumstances, for the creation of collaborative housing organisations in societies:

(1) In practice, it is easy to set up or dissolve the collaborative housing organisation regardless of the long or short-term organisational activity and the entry or exit of different types of members;
(2) An unlimited number of persons who are interested in collaborative housing regarding the building of social support and social capital;

(3) Appropriate for the local financial situations, such as taking loans, raising shares, attracting grants and investments.

In the English contexts, the legal concept of CLT and a well-developed third sector enabled citizens to set up this flexible organisational form for collaborative housing easily. However, in urban contexts in China, establishing and running a non-profit social organisation was relatively complex, as argued by Mr X in the SYC case (see also Wong and Jun, 2006). This was one of the reasons why the SYC case operated in the market. For the rural TJC case, village autonomy was one of the core governance principles with the establishment of the village committee as a carrier.

The idea of 'keeping community/collective land for community members' was enacted in two main ways: (1) keeping information transparent to five types of collaborative stakeholders; (2) managing collaborative decisions. In the two English cases, the information was kept transparent to the five types of stakeholders mainly through informal discussions of their interests related to the use of local land before, during and after projects. A good example of this informal level of information was provided by an SCLT project resident who knew about, but was not a member of, the CLT.

> *'[I: Are you the member of the Norton Sub Hamdon CLT?]*
>
> *No, no, I am not…. The only thing I went to is about when they first had the plan for the buildings and everything. I went to a couple of meetings they had, with Yarlington and the community land trust to show the plans of the houses.'*
>
> (WN6, WCLT housing user, on 26 July 2018).

In the two Chinese cases, there were high levels of transparency of information to stakeholders. In the SYC case, information software was used to reflect residents' interests and protect their investments, given the high risk in their direct and continuous collaboration. In the TJC case, proximity to the project site helped with the assessment of each other's participatory (investment) behaviours.

Concerning the second theme of democratic participation in decisions, different parties had different expectations and interpretations of the projects, as shown in Chapter 6. Democratic discussion was the primary procedure, particularly for collaborative housing providers and local community collaborative housing members (including housing users), to form the shared understanding of the issues in the management of conflicts and making collaborative decisions over time.

7.5 Land: Use and governance

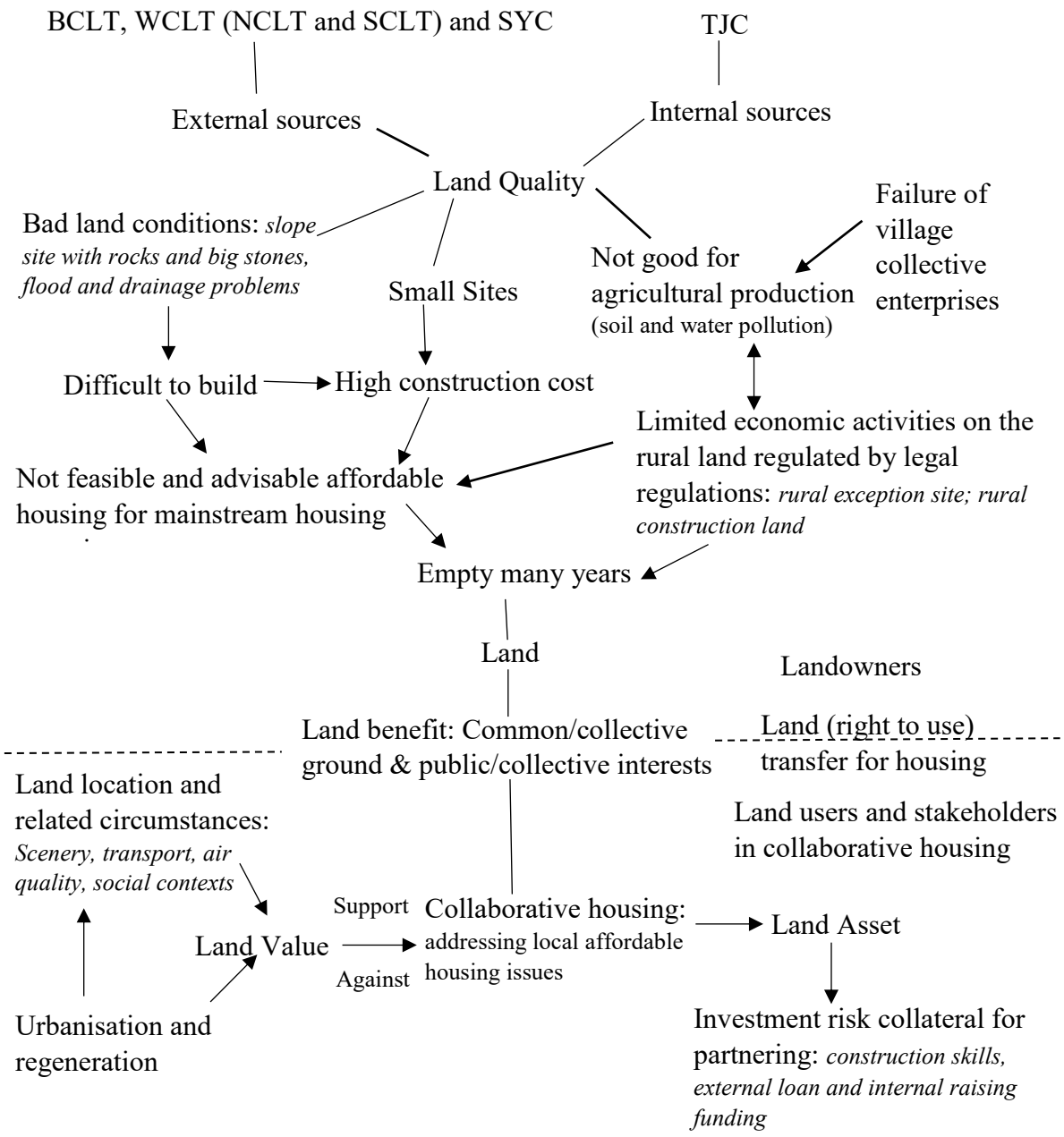
This section contributes to the understanding of the nature of collaborative housing land sources, going beyond the idea of keeping community/collective land for local people, and brings a shared understanding for landlords to transfer or sell the land for collaborative housing, as analysed in Chapter 5. Two features are highlighted: use and governance.

This multiple case analysis found that low-value land that had been empty for many years was the main source of collaborative housing land (Figure 7-6). The first land-related theme (evidenced in three cases BCLT, WCLT and SYC) was the easier availability of smaller and poorer sites that were of less interest to either market or large-scale state providers due to: (1) the estimated high construction costs; (2) the difficulty in building dwellings; (3) the limited profits. For example, an SYC interviewee argued that '*generally a small real estate project is difficult to implement because of no profit*'. (S1, SYC [redacted], on 4 January 2018). This was similar to the English cases in which:

> '*the costs are really expensive and tend to be more expensive because they tend to be small scale. So, you do not have the economies of scale that you would have with other developments.'*
>
> (WN7, [redacted] Yarlington Housing Association, on 17 October 2018).

A further limitation was the absence of cost-saving from the bulk purchasing of materials for housing construction as in a large-scale project. The application of the CLT concept was supposed to enhance land efficiency in the BCLT case (See the B6's argument in p. 142). The BCLT land was on the list of land to be auctioned for many years, which indicated very few sales opportunities, although the land was estimated on the open market valuation of £286,000 (https://righttobuildtoolkit.org.uk/case-studies/bristol-clt/#, Accessed: 3 September 2018). In the SYC case, there were limited external land buyers, which gave rise to an acceptable price for the collaborative housing group in the land auction. However, there may be ways to access higher value sites (see Lavis, 2019; West Midlands Combined Authority, 2019).

Figure 7-6: Features of collaborative housing land



(Source: The author)

The second land-related theme (evidenced in two WCLT and TJC cases) was the limited amount of economic activity for affordable housing regulated by local laws and policies (such as rural exceptions sites in England and rural construction land in China) as stated

in Chapter 5. For the rural WCLT case, the planning regulations for rural expectations sites limited the profit that the landowner could achieve from housing or commercial development and made the collaborative housing option attractive. These kinds of rural expectations sites often require expenditure on infrastructure, which was argued by HAs as one of the budgetary barriers for their participation. The newly issued Community Housing Fund in England now supports capital funding for infrastructure projects to better deliver local affordable housing (https://www.gov.uk/government/news/phase-two-of-the-community-housing-fund-is-now-open, Accessed: 18 July 2019).

Combining these two themes above, the third one (evidenced in the TJC case) was that poor soil quality rendered the land unsuitable for agriculture and existing local policies defined its commercial activities. Village housing and economic issues commonly affected villagers with the right to use, should they reconsider, about the collective land-use efficiency. Land was the internal source in the TJC case.

Land that had been empty for many years with limited land value further highlighted another land governance challenge. This was related to the context that landowners held long-terms views on their land and were unrealistic about current use value (Red Brick, 2018). In the case of collaborative housing, across the four cases, this argument was exemplified in the idea of 'keeping community/collective land for community/collective', to protect present and future local public/collective interest as analysed in Chapter 5. Regarding the English contexts, apart from the evidence above, in the government-piloted

BCLT case, BCC, on behalf of the public interest, carefully considered the public land transfer with £1, as stated:

> *'The CLT, which is still a good thing, draws its membership from the whole of Bristol and beyond. So it is not actually to get intensive membership in any one community and also tends to be much more middle class…. The Bristol CLT tends to house, on the whole, people who are a little bit more affluent than the people we would expect to house in the development trust properties. And calling Bristol a 'community' – in some ways it is nice, but in some ways, it is not really meaningful in terms of the ways in which the CLT is accountable to the local community.'*
>
> (B6, cabinet member [redacted] in the Bristol City Council, on 25 July 2019).

The WCLT case allowed analysis of the landowners' decisions about selling land (see Section 5.4). It showed the underpinnings of the land speculation issue and the ways in which exception sites for affordable homes provide a mid-range option for landowners interested in community housing needs, but without delivering speculative 'hope value' (see Figure 7-7). In England, the private ownership system was a possible explanation of this dilemma of land governance, which is argued as '*the hope value arising from potential future uses of a site on compensation for compulsory purchase*', mainly in a rising market (Red Brick, 2018). The idea of community/public owned land underpinned these two case projects, as a more promising option to market sources.

Regarding the Chinese state-owned (including collective-owned) land, the long-term developing view on land governance was related to the case of lacking considerations of local specific contexts in timely adjusting use policies and regulations. In other words, the centralised-control system and relatively holistic (regional) developing tactics caused certain encumbrances in optimum land use that produced the highest values for the land. For example, in the SYC case, the existing housing and community design were revised in response to planning requirements, which caused an increase in the cost of the project and would further affect prices for thirty-four participants and the wider public. As analysed above, the TJC case highlighted rural housing and economic issues that underpin the collective land system, as argued *'the rural land and development follow policies…. And it also always changes. We just catch up this idea (for developing our village), it was changed again.'* (T4, member of the village committee [redacted], on 26 January 2018). This statement also highlighted another governance issue in the capabilities of the local general people per se in interpreting policies, which was evident in the result of common ground in the WCLT case analysed in Section 5.4.

Learning from the TJC case, this thesis argued that it was necessary to consider the relationship between land and associated policies in affecting its uses and values. Affectivity, in common/collective-land governors and achievement of Hill's (2014) proposed 'highest and best use' principles of land, the vision of equitable development on the community-owned land for future sustainable development. Regarding the Ideas pillar, collaborative housing, as a vehicle, enabled citizens with local links to engage with the land use and commonly held land values, to achieve benefits from the sites in their living environments, underpinning the land they were attached to. However,

common/collective-owned-asset-based organisations lacked clear roles for 'leaders' in focusing on constant organisational and regional development. The TJC case highlighted the importance of the '*continuity*' ('连续性') of the village committee team (T4, member of the village committee [redacted], on 26 January 2018), in which members understanding the long-term village affairs were crucial to making sense of the national and local policy contexts. Their perspectives on village change and future development were essential.

In these two English cases, local authorities were on board and common-pooling of land parcels was generally used for housing projects. However, one critical question was about 'who' made and would make decisions about the land use, management and governance (including benefit-sharing from the housing and wide projects), as described that

> '*Hopefully it [the future use of community land underpinned by the CLT project] is clear by having them with a free of the decade in advance'*.
>
> (WS1, [redacted] leader from West Dorset District Council, on 11 September 2018).

The one-member-one-vote system was followed as argued in Chapter 1. In England, the number of CLT households was normally very few, around 10, but supported by a large number of CLTs' members. In the BCLT case, there were 12 CLT households, but the number of citizen members was around 150. Therefore, these two constant and continuous ideas were crucial to think about common-pooling land governance apart from the governors' capabilities.

Land empty for many years with limited value took the public interest into account across the four cases. The definition of an appropriate piece of collaborative housing land was one of the key disputes among all stakeholders, including the local members, collaborative partners, business partners and tertiary and extended stakeholders (see evidence in Figure 7-7; see the WS1's statement in p. 196). The public/collective interest hid the combined power from the tertiary and extended stakeholders and affected the collaborative housing land source, particularly concerning the possibility of local resistance, particularly in BCLT, WCLT and TJC cases.

Figure 7-7: The understanding of collaborative housing land

Cases	Appropriate land	Empirical evidence
BCLT	The priority of the public interest	The land was a Bristol-City-Council owned surplus land. Before the council transferred the land to BCLT with £1, it had gone through the disposal routes following the 'Guide for the Disposal of Surplus Land' and land use was discussed with serval tenders.
WCA	No land speculation	In NCLT, landowners' speculations existed, which brought some troubles for Yarlington Housing Association to select and buy one piece of rural exceptional land. *'The problems that we faced were quite a few. The first one was that there were competing landowners who recognized that by bringing the land forward and having it re-categorised from agricultural land to housing land, they could generate quite a significant dividend. So, we had problems with landowners who wanted to profit from the operation from that opportunity. And we had to be clear that we had a*

		preference in terms of which particular land we ultimately acquired'. (WN7, [redacted] Yarlington Housing Association, on 17 October 2018).
	Easy to have the planning permission	There was a dispute about the land section between SCLT and the Somerset City Council. SCLT wanted to obtain a good site, which was challenging to obtain the planning permission for. One of the main factors was the natural environment protection. In other words, the city council sought for a site that was easy to obtain planning permission.
SYC	The place of a new collaborative housing project	The SYC project followed the regulations in the real estate industry, as argued that: *'Just like our project, the government has adjusted policies many times and we need to follow them and adjust our plans…However, many conditions were difficult to aspect for the general public. However, we need to do these and want to finish it (this project) as soon as possible.'* (S2, [redacted] Shanghai Hezhu Company, on 27 December 2018).
TJC	The existing land use condition	The village empty land with the construction permission was one of the required conditions to carry out the rural housing construction and reform concerning two policies mentioned in Section 4.5.

(Source: The author)

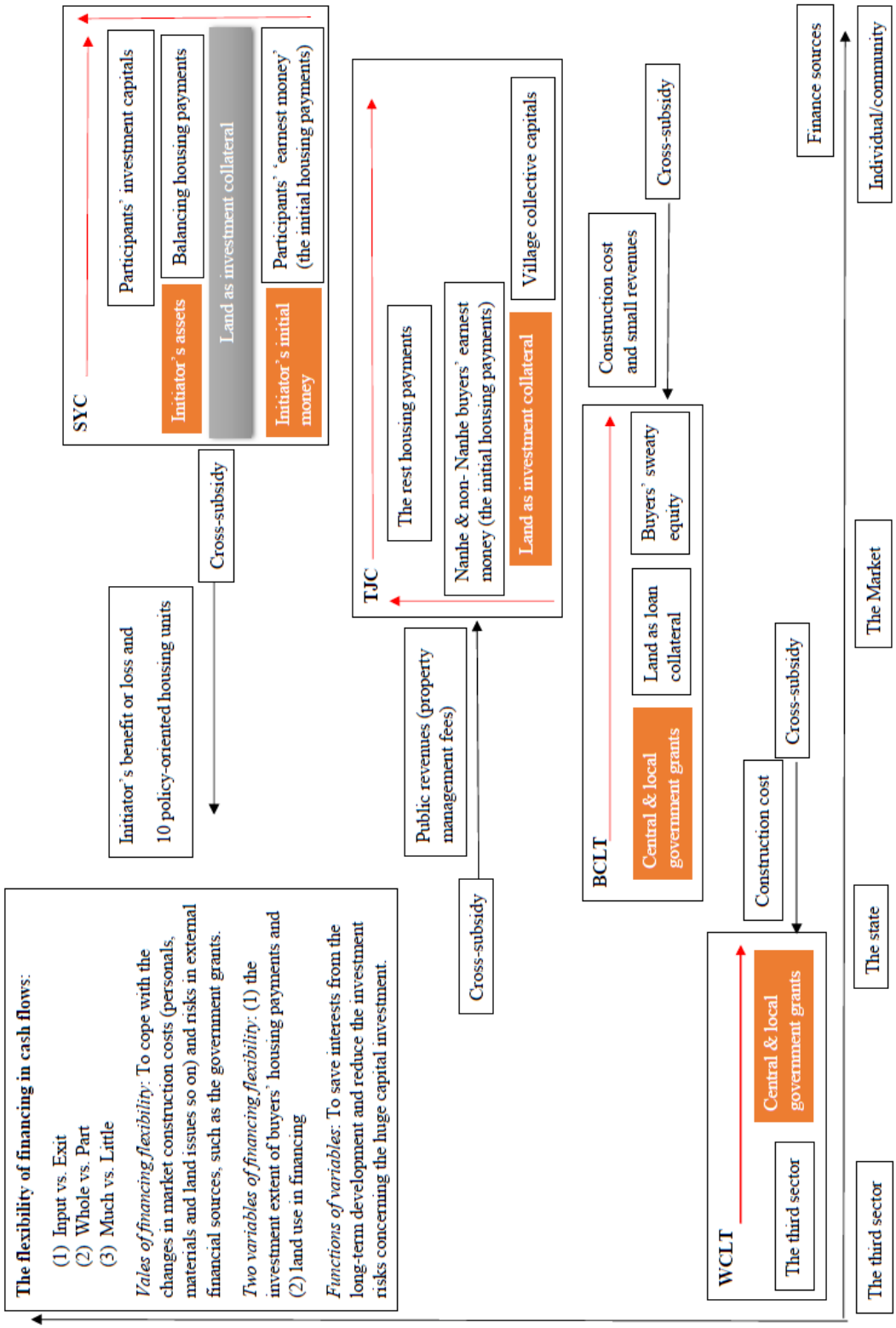
7.6 Finance: Motives, metrics and priorities

This section contributes to understanding some financial features of collaborative housing development and performance. Given the research focus on understanding the role of individuals and associated possibilities in affordable housing delivery, I was interested in

the different financial sources used and the importance of external funding in particular. The cost-saving sense was embedded in four case projects given the economic status of housing users (low to middle income) and the purpose of production in affordability. This multiple case analysis found two aspects in determining multiple financing strategies and using plans: (1) financial decision-makers and (2) flexibility of finance. Regarding the former, an interesting finding was that in the two English cases local community groups and housing providers decided the funding sources rather than the users. In contrast, in the two Chinese cases, local community groups (including housing users) commonly made choices together.

Regarding the flexibility of finance across four case projects, Figure 7-8 shows the different combinations of financial sources: the third sector, the state, the market and the individual/community (horizontal axis) and the multi-stage fundraising from the single sector (vertical axis). Comparing these four cases, the flexibility of finance in collaborative housing was expressed as the three dimensions of cash flow: (1) input and exit; (2) whole and part; (3) much and little. Therefore, different parties' financial metrics and priorities were the keys to the efficient optimisation of capital structures and cash flows for the projects. This analysis considered the internal and external funding and related environments, particularly given uncertainties in collaborative processes over time, which affected the different performance of the four case projects. Housing users engaged in the financial decisions related to two aspects: (1) thinking about alternative financial sources and approaches; (2) adjusting expenditures on products (housing and community).

Figure 7-8: Flexibility in finance



(The orange square means the dominated funding. This figure did not add the private equity from membership fees in the BCLT and WCLT cases given the small amount of money this represented) (Source: The author)

In the two English volunteer-based cases, core members were not people in affordable housing need and did not intend to live on the properties. Generally, they, therefore, did not plan to personally invest money in the projects, given the risks and responsibility. However, 'crowdfunding' was beginning to be considered as a potential source for some of the capital required (Ward, 2014; Interreg North-West Europe, 2017; Housing Europe, 2019; https://www.haringey.gov.uk/sites/haringeygovuk/files/hp_april-may_2019.pdf, Accessed: 16 August 2019). For example, in support of the BCLT project, BCC encouraged the BCLT members to invest 'significant finance' into the project when approving the land transfer with £1 in 2014 (Bristol City council, 2014). But external sources, rather than personal investment or crowdfunding, were generally their top choices rather than their own money. Access to external finance faced some barriers: (1) limited access to market funding caused by their absence of payment histories and lack of asset cover, (2) limited available funding from charitable organisations and (3) substantial investment risks on housing projects. This led them to partner with HAs and to access Homes England's affordable housing funds (Moore and McKee, 2012). The interviews for the BCLT case showed the capital structure issue faced by United Communities Housing Association, the collaborative partner:

> *'The accessibility to finance is another answer we got from Bristol's United Communities. You see they spend years trying to get lower rate finance to deliver their second project. In terms of those kinds of things, since they have not got the right financial package, then do not get very far. And it does not just have the low rate finance. This is because you can get a place and it is not that hard to get a loan. Your loan might get sixty or sixty-five per cent, but you still have to cover*

the remaining forty or thirty-five per cent. And then you need to consider how to raise that money. So, these are probably the key things I would say.'

(B1, [redacted] Ecomotive, on 28 July 2018).

The emergence of market loans based on land ownership as collateral and further housing users' 'sweat equity' in the BCLT project in managing unpredicted financial risks from five incidental events:

(1) The administrative election is negatively affecting funding allocation and then delaying the project;
(2) The increasing construction costs in the market during the period of waiting for the grants;
(3) The loss of fees from the construction interruptions caused by the survey work of a local bat group;
(4) A large number of expenditures on carrying out local surveys in responding to the extended stakeholders' requirements;
(5) Changing Homes England's affordable housing funding rules (100% grant was paid on practical completion) caused more loan conditions from the preferred funder.

It is now recognised that funding requirements for community-led housing projects are complex and require a range of different types of funding for different stages of the development process (Archer et al., 2019). Furthermore, advice to facilitating the projects is developing accordingly (see two pieces of example are provided: https://mycommunity.org.uk/resources/how-to-fund-your-community-led-housing-

project/, Accessed: 15 October 2019; https://www.communityledhomes.org.uk/make-it-happen/get-funding, Accessed: 15 October 2019).

Different from the English contexts, decisions of the capital structures in the two Chinese self-finance cases were dominated by housing users concerning the common stewarding of their developing housing rights and high investment risks. Therefore, financing approaches, choices and strategies were made based on the consideration of the trade-off between costs and benefits of individuals and projects by analysing different combinations of internal and external debts and equity. A good illustration was the internal financing strategy (Plan B) determined by the thirty-four participants in the SYC project (Figure 7-9). Taking financing risks, housing cost and their economic capability into account, they commonly decided on an internal financing approach, in which the SYC initiator secured the finance and in return, benefited from the selling of the thirty-six housing units left after housing selection and allocation, as argued:

> *'If your participative level is deep [which means the considerable investment], but the risk is big…. Like us, we are in affordable housing need. We just can participate in this level [with limited investment capital]. If we borrow money from outside [and invest in the project] at the beginning, that is risky.'*
>
> (S5, SYC active member [redacted], on 5 January 2018).

This was also evident in their two types of position and risk-based relationships between their participatory behaviours and projects as analysed in Section 6.3.2. The SYC case indicated a portfolio-like approach to developing a multiple-stakeholder collaborative housing project (Faems et al., 2005; Collins, 2013; Andersen, 2008). Housing users and

providers conducted small financial (investment) matters to organise the implementation, address the risks and track the operation progress by evaluating the main participatory motives, metrics and priorities.

Figure 7-9: Financial strategies in the SYC case

Approaches	Internal		External
Plans	Plan A: They raised money by themselves through borrowing money from family members and friends.	Plan B: They asked the initiator to raise finance for the whole development	Plan C: They borrowed money from the market, such as commercial banks. (There was no charitable bank and government funding)
Conditions	It depended on the investors' willingness and economic capabilities	The initiator owned the remaining 36 housing units.	What was the loan collateral?
Strengths	Saving costs, such as bank interest	Saving costs, such as bank interest	Addressing finance issue
Weakness	Owning loaners' favour ('人情' in Chinese) and affecting their face ('面子'in Chinese)	Limited opportunities to access benefits from the housing project	Increasing costs due to the long-term bank interest
Opportunities	Benefiting from the selling outcomes of the 34 housing units left	They could invest in the project and benefit from the loan interest if they had available money based on the agreement between participants and the initiator	Benefiting from the selling outcomes of the remaining 34 housing units
Threats	Bearing huge investment risk given the long-term development cycle, financial burden and psychological stress from debt to others	None	Bearing huge investment risk and financial burden given the long-term development cycle

(Source: The author)

The adjustable expenditures on products (housing and community) were analysed in Section 6.4.3. It was clear that the direct involvement of housing users (or people who were much closer to them, such as family members and close friends in the NCLT project) in decision-making on design and materials contributed to more positive outcomes in meeting housing users' aspirations.

This was because housing users customised their collaborative housing products based on their preferences and priorities in expenditures. For example, housing users in the two Chinese cases were willing to spend more money on housing design and quality, which gave rise to more flexible project operation than that of the negotiations between local collaborative housing groups and HAs in English cases (where cost limits tended to be set externally). The sweat equity option used in the BCLT case was also a flexible way to reduce some costs while increasing involvement of users. For example, the SYC case showed that:

> *'Our community has a higher standard [than that of surrounding commercial buildings] …. I told Mr X to think about the protection against the tide…. [I said that] 'Before you do not know it, but now you know it. We want to spend more money to do it'…. The materials of the walls' moisture-proof insulation layer were imported from Germany.'*
>
> (S5, SYC active member [redacted], on 5 January 2018).

In the BCLT, SYC and TJC cases, the early involvement of the housing users reduced project costs caused by the external interest paid or other kinds of economic and non-economic costs and increased the freedom of free cash flow, which further affected the

outputs of projects, such as the affordability. Furthermore, in the two Chinese cases, the multiple-stage fundraising strategy both further reduced the financial stress for investors and reduced the household economic leverage for the housing users regarding the considerable investment risk and the long-term development cycle. Therefore, a positive correlation was found between the flexibility in finance and the performance of collaborative housing in line with managing the investment risk, saving on housing and project costs and benefiting from economic and non-economic returns when housing users engaged with financial decision-making and related contexts.

7.7 Conclusion

This chapter has contributed to the understanding of the fundamental similarities of five pillars for the success of four case projects regardless of their different settings in England and China from the perspective of local community collaborative housing groups in responding to the research aim of the thesis. Regarding the Actors pillar, this thesis found that collective cultural entrepreneurship was more accurate for defining the essential properties of key people in the local community collaborative housing groups who were usually core community members. They held local housing cultural knowledge and capitals to mobilise material and labour resources towards successful development.

For the Partnerships pillar, limited liability brought the psychological safety for local community members to participate in conducting affordable housing projects. Community/collective support based on a large number of local community collaborative

housing members, consequently affected wide collaborative housing supporters' collaborative perceptions and actions and embarked collaborative efficacy. Accountable individuals and organisations drove their collaborative senses and responsibilities and enabled them to consider their competencies (including the use of their personal resources) and positions in stewarding common-pooling collaborative housing development rights. In the Ideas pillars, citizens' participation presented their shared vision of spatial justice for people with local links in the present and future. Collaborative housing projects were the channels that enabled them to engage with local affairs and development through tripartite governance on common-pool development rights and democratic discussion.

For many years empty land was the core feature of multiple collaborative housing land sources (under the Land pillar). This was because of the limited land values under the use and governance inefficiency involved taking the combined force from five types of collaborative housing stakeholders (including local community collaborative housing groups, collaborative partners, business partners, tertiary stakeholder and extended stakeholders) into account. It was also found to be more functional with the features of small and bad qualities and the priorities of current and future public/collective interest. The involvement of housing users in the collaborative housing financing plan contributed to an optimal capital structure in developing collaborative housing projects in line with their managerial perspectives on the multiple possible solutions to financial plans and trade-offs, between the costs and benefits and inputs and outputs. The flexibility of finance impacted on the collaborative housing performance to manage unexpected financial changes over time and promote its potentials in saving costs and gaining returns.

CHAPTER 8: SYNTHESIS AND DISCUSSION

8.1 Introduction

Chapters 4-7 had deeply and comprehensively analysed the four case projects with different settings and combinations of factors and their surrounding contexts. The multiple case studies illustrated that resources for development were contextual-based. Therefore, this thesis mainly considered the ways how they occurred and behaved concerning the project implementation by discussing their common features and comparing their key themes rather than the in-depth analysis of contextual-based factors (such as the number of financial investments of each project and the local culture of citizen engagement). Analytical concepts from New Institutional Economics also helped to explain how they enacted in particular settings and why they conducted the ways they did, concerning economics, politics, policies, transaction and transformational costs and property rights. In this chapter, I synthesise research findings from six stages of data collection to answer the research questions (Figure 8-1) with answers set out in Sections 8.2 to 8.6. These five sections provide an in-depth understanding of the nature of the re-emergence of collaborative housing since the 2000s in different English and Chinese social contexts. Section 8.7 critically reflects on the limitations, negative consequences and unintended consequences of collaborative housing, and in particular, the barriers derived from the multiple case studies to its scaling out to provide real alternatives to existing housing models. It also reviews its development with a summary in this cross-cultural study. Section 8.8 then draws out four key learning points on effective institutional arrangements.

Figure 8-1: The themes of answers to research questions

Research questions	Themes
(1) *Drivers*: What are the drivers of collaborative housing initiatives in different societies? What other drivers are considered by experts in the field to be important?	• Neoliberal economic governance (financialisation/ marketisation) • Globalisation (technical change) • Sense-making (modern housing and residential aspirations and ideas)
(2) *Enablers and barriers*: What factors have enabled and constrained their implementation in England and China?	• Enablers: (1) Place-based development; (2) cultural entrepreneurship; (3) cultural entrepreneurship and growing state recognition. • Barriers: (1) The weak provision capability of civil society groups in delivering affordable housing projects; (2) the uncertainty in external housing supply and related situations.
(3) *Shapers:* How do the five proposed pillars (Actors, Partnerships, Ideas, Land and Finance) shape the development of collaborative housing and related initiatives in England and China?	• Actors: Collective cultural entrepreneurship • Partnerships: Accountable collaboration • Ideas: Spatial justice for people attached to place • Land: Use and governance • Finance: Motives, metrics and priorities
(4) *Design principles*: How are the principles of co-operation, co-production and collaborative governance enacted in England and China?	• Co-operation: The principle of (access to) land sources for collaborative housing • Co-production: Identifying causal provision mechanisms based on four case projects • Collaborative governance: The institution of collaborative decision-making on common/public land for housing and regional development
(5) *Outcomes*: What are the common and distinctive features and outcomes of these collaborative housing initiatives in England and China?	• Keeping local land and benefits in the locality (communities) • Protecting affordable housing from global market forces • Mutual-help and self-help on common/public land governance • Collaborative enactment process • Attachment to place and local communities and lifetime residential behaviours

(Source: The author)

8.2 Drivers:

What are the drivers of collaborative housing initiatives in different societies?

What other drivers are considered by experts in the field to be important?

In this section, the first question of the drivers of collaborative housing initiatives in different societies is answered from two macro perspectives based on the literature, including (1) neoliberal economic governance of housing (financialisation/ marketisation), and (2) globalisation (including technical change). The micro sense-making theme, 'modern housing and residential aspirations and ideas', is used to address the second question based on the multiple case studies and wide observations.

8.2.1 Neoliberal economic governance of housing (financialisation/ marketisation)

The institution of neoliberal governance of the economy has gradually enabled land and housing resources to be financialised (Smyth, 2019; Murie, 2016; 2017; Fields, 2015; Hackett et al., 2019; Lowe and Thaden, 2016; Davis, 2015; Williamson, 2000). There are growing numbers of citizens, particularly low-to-middle income people, failing to meet their modern housing and residential aspirations and ideas since the 1970s (Murie, 2016; 2017; Fields, 2015; Davis, 2015). This stimulated the re-emergence of collaborative housing as a reaction to neoliberalism in different international contexts, such as England, Netherlands, North America and China (North, 2012). The common/public ownership, such as the idea of common ground of the CLT model, was

seen as a way of dealing with the issue of the excessive economic rent on housing and improving housing and related demands globally (see the WC2's statement in p. 290) (Hackett et al., 2019; Engelsman et al., 2018; Davis, 2017; 2010). The civil-society solution underpinned by the shared rights of governance was found to keep the rise in the value of land for housing low to ensure their local living rights, as expressed in Lefebvre's concept of 'the right to the city' (Harvey, 2003; 2012).

The analysis of English and Chinese housing-related policy contexts in Chapter 4 showed the role of the neoliberal state in the housing system in these two countries. It recognised the uneven power and unequal forces between decentralisation of affordable housing provision to markets and decentralisation to civil societies. This accounted for the quite limited scale and progress of collaborative housing compared to the speed at which market housing became unaffordable (Forrest and Hirayama, 2009).

8.2.2 Globalisation (including technical change)

The spread of collaborative housing models had been promoted by the globalisation of ideas by people coming together across boundaries to share potential solutions. Academics, practitioners and governments continually conducted reflective thinking and actions within the modern digitally global community (Mullins and Moore, 2018; Tummers, 2015a; 2015b; 2016; Davis, 2010a; 2017; Liang, 2014; Wu, 2007). Unlike Hofstede's (2001 and 2006) cross-culture studies of multinational companies, the

example of collaborative housing's adaptation to different national cultures has not been about top-down organisational change. Instead, collaborative housing organisations emerged within national cultural contexts to address similar problems arising from a neoliberal economy of housing and wide housing-related issues. Sometimes they did this by sharing and adapting ideas and models. The way in which these models were implemented was again subject to local cultural contexts. Models need to be adapted, which was seen in the English and Chinese land cultures (Gronow, 2008). Policy convergence and diffusion of social innovation in the housing field could also be a result of and a response to the wider forces of globalisation and neoliberalism in England and China. This policy development was evident in the development contexts and settings of the four case projects.

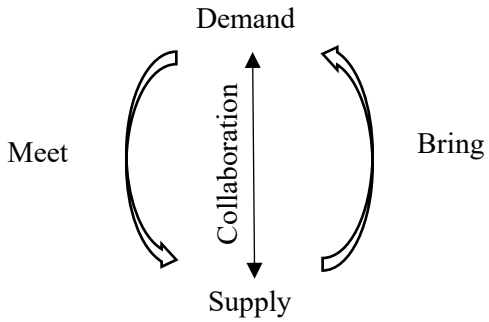
Furthermore, technical change was an important element of the application of collaborative housing in an international context (Tummers, 2016; Lang et al., 2018; Davis, 2010a; 2017). Apart from building techniques and the role of architects (Tummers, 2016; Lang et al., 2018), this thesis found that transactional approaches (see the Finance pillar in Section 7.6), and participants' knowledge (see Section 6.3.2) were positively improving affordable housing production capability in the community/family sector. Therefore, globalisation, along with building and communication technologies, was driving the re-emerging collaborative forms of housing and related practices in different societies.

8.2.3 Making sense of modern housing and residential aspirations and ideas

According to the multiple case analysis, the meaning of housing affordability did not only refer to the price that was cheap enough for citizens to be able to find a place to accommodate but also referred to the economic state to meet their changing ways of living (see Section 6.4.3). Therefore, the supply-demand analytical perspective helps to explain human intentionality in collaborative housing (Figure 8-2).

In Figure 8-2, there are three ways of delivering collaborative housing projects in societies based on the multiple case analysis and wide observations under the theme 'Sense-making (column 1)': (1) the demand-oriented; (2) the supply-oriented; and (3) the mixed supply-demand approach. The theme, 'Contexts (column 2)', describes the relationships of collaborative housing projects to users. It includes five sub-types of sense-making of various benefits from housing and communities. The evidence from the four case projects indicates that diversification in combinations of the participatory levels and identities of housing users led to different consequences. Under the theme of 'Ways of collaboration (column 3)', Figure 8.2 uses high/low participation, and housing users who are/are not collaborative housing organisational members to analyse how the implementation of collaborative housing impacts on the performance of the project.

Figure 8-2: The supply-demand analysis of collaborative housing

<table>
<tr><th colspan="3">Supply-demand based collaboration</th></tr>
<tr><td colspan="3"> 
</td></tr>
<tr><th>(1) Sense-making</th><th>(2) Contexts</th><th>(3) Ways of collaboration- examples</th></tr>
<tr><td rowspan="2">Supply-oriented: Limited provision of products in the societies, such as the approach to affordability and provision</td><td>Collaborative housing achieves supply</td><td>Low participation of housing users in governing the project to deliver affordable housing- such as WCLT.</td></tr>
<tr><td>Supply also brings demand</td><td>High participation of housing users in governing the project to deliver affordable housing- such as BCLT (bringing the sense of living in the community), NCLT (having housing units with lifetime living standards and TJC (bringing employment opportunities).</td></tr>
<tr><td rowspan="2">Demand-oriented: Limited or no existing products in the societies, such as using housing for wide purposes (e.g. community living and employment opportunities)</td><td>Collaborative housing achieves demand</td><td>Housing users are collaborative housing organisational members - such as Unlimited community in China (providing users themselves to live together with friends) and wide Cohousing and self-help housing models.</td></tr>
<tr><td>Demand also meets supply</td><td>Housing users are not collaborative housing organisational members - such as Granby 4 Street (providing housing units for people with local links) in England, and wider Cohousing and self-help housing models.</td></tr>
<tr><td>Mixed supply-demand approach: Limited provision of the specific demand-based housing</td><td>Collaborative housing contributes to supply and demand.</td><td>Housing users are collaborative housing organisational members with high participation in governing the project. (For example, in the market mechanism, the SYC project shows the mixed power of housing affordability and the designed living ideology in attaching users. To be specific, 34 participants, as investors, could withdraw the money and use the investment benefits from the rising land prices to buy housing to address their affordable housing needs concerning the long-term and high-risk SYC development. This project originated from the idea of ‘customer-designed housing’ but transferred to the ‘collective-wisdom housing’).</td></tr>
</table>

(Source: The author)

(1) The supply-oriented sense-making

Supply-oriented collaborative housing refers to expanding the housing provision to address limited housing resources in societies. The BCLT, WCLT and TJC were the cases in this cluster. This was evident in their pragmatic attitudes to delivering affordable housing to people with local links and in housing need analysed in Section 6.2. Regarding the theme of the supply of collaborative housing bringing wide demands, a good example was the self-finished BCLT projects. BCLT housing users' participatory behaviours not only allowed them to match their affordable housing needs but also to enjoy living in the community.

(2) Demand-oriented sense-making

Demand-oriented collaborative housing is about developing and producing new housing as well as communities to meet citizens' emerging demands in societies. Housing, as a tool, addresses many different social issues, such as the health and ageing problems, in line with collaborative provision features (Lang et al., 2018; Czischke and Huisman, 2018; Engelsman et al., 2018; Lowe and Thaden, 2016; Liang; 2014; Fromm, 2012; Foster, 2011; Davis, 2017; Wong and Jun, 2006). The themes of 'alternative lifestyle' and 'environmental awareness' in the literature of collaborative housing are good examples of the demand-oriented sense-making in increasing the new housing-related contexts (Tummers, 2016; Lang et al., 2018). These approaches enable people to take control over their housing-related lifestyle and seek to promote environmental awareness (ibid.). The context of collaborative housing achieving demand is also seen in a Chinese self-help

Cohousing project, the Unbounded Community (‘无界社区’ in Chinese) in Guangzhou. In this project, an architect with five friends bought and transformed an old workshop from the 1950s into six rooms for collective working and living (https://zhuanlan.zhihu.com/p/54402760. Accessed: 10 November 2018). The use of the empty workshop avoided certification of housing tenure according to the existing regulations (ibid.).

(3) The mixed supply-demand sense-making

The mixed supply-demand form of collaborative housing combines the purposes of expanding housing production and certain specific living ideologies (Tummers, 2016; Seyfang, 2010; Liang, 2014). The SYC case illustrated this combined theme clearly. As analysed in Chapters 5-7, thirty-four participants controlled the project and designed their housing and communities to meet their modern housing aspirations. Furthermore, the key umbrella organisation, WCA, in the WCLT case, applied the CLT model to provide more affordable housing locally through partnerships across a wider region. According to the investigation, it also highlighted the importance of cost-saving housing design and environmentally friendly building materials in making the sustainable development of a CLT project, as described:

> *‘[I: Could you give me some ideas on how to promote the sustainable development of a CLT project?]’*
>
> *‘Well, I suppose the key is to know what sustainability is. [From the perceptive of] how the buildings are constructed… we are doing some work at the moment to see how we could use the most sustainable materials like timber-framed*

materials…. And I think the other area is that [existing] buildings use a lot of energy. And so, we are interested in how we can make buildings as energy efficient as possible through [applying] renewable energy technologies. So that they [buildings] can be sustainable in the long term…. So those are two ways that we are looking at sustainability.'

(WC1, Board member of Wessex Community Assets [redacted], on 27 September 2018).

This statement describes the positive relationship between collaborative housing and building techniques in achieving various projects mixing supply-demand purposes to meet evolving housing-related aspirations and ideas.

Reflections on these three types of drivers above show the impact of changing housing norms and institutional environments on the re-emergence of collaborative housing in societies.

8.3 Enablers and barriers:

What factors have enabled and constrained their implementation in England and China?

This section considers the common factors affecting their scaling up positively and negatively, and associated approaches in England and China. Section 8.7 will consider the wider key limitations, some negative outcomes, and unintended and adverse consequences, drawing on the multiple case studies and broader literature.

8.3.1 Enablers

(1) Place-based development

The place-based development idea was one of the critical enablers for citizen participation and engagement to address housing and related social demands in England and China since the 2000s (Neumark and Simpson, 2015; Huggins and Thompson, 2015; Pugalis and Bentley, 2014; Harrison, 2014; Garcilazo et al., 2010; Crane and Manville, 2008; Chen et al., 2016; Zhu, 2015; Gooding, 2013; Galster, 2017; Williams, 2018). Both countries have top-down and bottom-up collaborative approaches concerning the growth of collaborative housing, but with different contexts.

The analysis of housing and related policies in Chapter 4 showed a common decentralisation trend of affordable housing provision for the community/family sector in England and China in response to the growth of neoliberalism since the 1970s. After the Global Financial Crisis of 2007-2008, there were similar place-based collaborative housing activities to mitigate the effects of financialisation of housing in an international context (Davis, 2017; Thompson, 2015; Bunce, 2016; Moore, 2018; Hackett et al., 2019; Wang, 2014; Wu, 2007). The small-scale bottom-up promotion of common/public rights to land was one of the approaches (Davis, 2017; Thompson, 2015; Bunce, 2016; Wang, 2014; Wu, 2007). The four case projects highlighted that these attempts connected people (with local links found in this thesis) with the places they were attached to. Meanwhile, these results showed the importance of strong capabilities of core local community collaborative housing members, such as leadership, knowledge and resilience to

overcome uncertainties and challenges in determining the occurring places as analysed in Chapter 6 (Mullins and Moore, 2013; 2018).

This thesis illustrated that the place-based collaborative housing idea found a way to provide alternatives to housing and local neighbourhood development from three main aspects (Moore and Mckee, 2014; 2018; Zhu, 2015).

- Firstly, these collaborative housing activities expanded land opportunities for housing and related systems conditions in disadvantaged areas through citizen participation and engagement, as described:

  'It is interesting that there are different models being used in Bristol at this time. There are quite a few different projects. Yes. Another project is one that utilises empty office space and turns into homes.'

  (B7, BCLT [redacted] resident, on 20 July 2018).

  This statement highlighted a competitive advantage in best using local resources for development.
- Secondly, they increased physical assets (Hackett et al., 2019; Larsen, 2019; Lang et al., 2018; Sørvoll and Bengtsson, 2018; Vestbro and Horelli, 2012). In this thesis, BCLT, SYC and TJC cases brought opportunities to private ownership (tenure in the Chinese context) for low-to-middle income people.
- Thirdly, they helped stabilise society and human wellbeing (Tummers and Macgregor, 2019; Droste, 2015). For example, the BCLT case revealed that the self-finished idea helped to reduce the mental health issues of housing users.

(2) Cultural entrepreneurship

Section 7.2 showed the housing and related cultural backgrounds of the core members in the four case projects. This thesis further found that they cared about local development in the long term

> '*and often they are very well connected to other people within the community. So, they understand how to get information around the community. And very often they are well respected within the community*'.
>
> (WC2, an associate of Wessex Community Assets [redacted], on 25 July 2018).

These local housing and related cultures helped them recruit members and overcome local housing and associated barriers under the neoliberal housing economic governance.

In the Bristol case, we found an example of cultural entrepreneurship in the role of Resonance in pioneering funding models for collaborative housing:

> *'One of our board members at the time, X [the name of the board], was really a pioneer and leading the CLT movement in England. So, Resonance created a fund specifically for CLTs who wanted to borrow and create finance…. So at the time [since 2012 when they created the affordable homes rental fund], I think we were the only lender to support CLTs…. I mean, that [the financial environment] has changed quite considerably: between 2012 and now, we have noticed there are quite a lot of other lenders in the market, for example, Triodos, Charity Bank, Ecology …. There are other sorts of financiers who do lend to CLTs. Everybody offers a slightly different product'.*

(B8, member [redacted] from Resonance, on 26 July 2018).

Further examples of cultural entrepreneurship were highlighted in the literature, such as a commercial CLT project for the African American population (Williams, 2018; Tummers and Macgregor, 2019).

(3) Cultural entrepreneurship and growing state recognition

This thesis showed that cultural and community entrepreneurship created advantages through building relationships and networks. These benefits contributed to legitimacy and state support in the UK (supported by the legislation of the CLT model) and China (the improvement process of rural and urban land and housing systems).

Specific examples of legitimacy in England included in the rural development and affordable housing fields. In rural development 'Time for a strategy for the rural economy' in England on 27 April 2019 (House of Lords, England, 2019) recognised the importance of CLTs in '*encouraging local participation*' in housing delivery and highlights that

> '*we urge the government to maintain the funding provided through the Community Housing Fund and to explore future means of providing development finance for CLTs*' (p. 14).

A further illustration of recognition the enabling role of community entrepreneurship by the Government body, Homes England was identified in the following research interview:

'[Could you tell me what kind of barriers there are in developing community-led housing projects?]

Money. The money and sort of things to make people be organised as groups. But actually being able to interact with the government, the local authority can sometimes be challenging [to provide community groups finance]. A really key one is finding a site because they [community groups] need to actually get a site and then take an option on that site before they can really get [finance towards] going on. That can be a bit of a barrier. So, if there are ways we can help our community groups find and then either purchase or take an option on a site, [we could help finance]. That could go a long way to help them when the barriers are that, just in rural areas, general opposition. But at the community, a group can often help with that [opposition issue].'

(E1, a representative from Homes England, on 25 July 2018).

The existence of community entrepreneurship models was a factor in growing government support in England (Archer et al., 2019).

This thesis showed many Chinese civil society practices in regenerating housing and communities with the standardisation of urban and rural housing systems (land, finance and governance) and related economic activities (see the awarded small-scale projects in Section 1.1) (Jiang et al., 2016; Chen et al., 2016; Zhu, 2015; Wang, 2014). Meanwhile, it also found the government interest in the role of community entrepreneurship to improve housing production possibilities and citizens' wellbeing as argued:

'In the near future, there will be few large-scale housing construction projects in urban areas, especially such as Beijing and Shanghai…. Collaborative housing

with efficient public participation can promote the transformation and upgrading of the real estate industry and explore the mechanisms of community governance, co-construction, sharing. It will benefit urban organic renewal and characteristics, coordinate the integration of urban and rural development, and meet the people's growing needs for a better life'.

(C2, a representative from Housing Provident Fund Supervision Department of Ministry of Housing and Urban-Rural Development of China, on 2 December 2017).

This was evident in the newly issued housing funding policy for the old community renovation in Chapter 4.

8.3.2 Barriers

This thesis highlighted two common barriers related to the implementation of collaborative housing according to the four case projects.

(1) The weak provision capability of civil society in delivering affordable housing projects.

This theme was not new in the community/family sector, even in the third sector, in delivering high-risk housing and related services in comparison to the market and state sectors in societies. The long-term development histories of the four case projects were pieces of evidence (Appendix 16). This decentralised housing governance approach was seen to create pressures on members' time, capabilities, financial resources and emotions.

For example, results of the multiple case analysis showed that core local community collaborative housing members usually needed to learn and understand the housing and related knowledge, skills and techniques, and concerned the achievements of the projects. Meanwhile, those involved in collaborative housing projects could experience a degree of stress as a result of their involvement.

This barrier occurred in the development of Granby 4 Streets CLT in England (Figure 8-3). Figure 8-3 illustrated the decisive impact of the private investment on its success concerning the campaign activities organised by the main Granby 4 Streets CLT members. Meanwhile, it also indicated two enabling factors that were (1) the place-based collaborative housing development idea (which was seen as the attachment of citizens to this CLT project) and (2) cultural entrepreneurship (which was seen as the role of the strong community leadership and engagement).

Figure 8-3: Analysis of Granby 4 Streets CLT in Liverpool, England

Granby 4 Streets CLT	
Local link and the strong economic capability with the public interest.	The first person who was the owner of Steinbeck Studio in London, had a local link in Liverpool and provided the free interest loan to Granby 4 Streets CLT and supported its development by encouraging extensive partners to become involved in the project (https://www.granby4streetsclt.co.uk/funders-partners. Accessed: 22 May 2019).
Community leadership and engagement.	The chair argued that the person automatically contacted them after their local campaign activities, possibly via local news and explained his efforts as social returns (according to the empirical observation on 29 May 2019).

(Source: The author based on the empirical observation on 29 May 2019)

(2) The uncertainty in external housing supply and related situations.

As analysed, the re-occurrence of collaborative housing is related to the specific housing supply and demand contexts in practice. It was partially related to the neoliberal financialisation. For example, this situation gave rise to many citizens who would reinforce the implementation of the CLT model in civil societies (Bunce, 2016; Jarvis, 2015b). In other words, if the state played a significant role in housing provision rather than the community/family sector, supply-oriented collaborative housing projects with the purpose of affordability would not exist. The WCLT case showed that certain housing users were not the CLT organisational members. This could imply that they did not commit to some of CLT's ideas, such as community land ownership and triparty governance. Furthermore, the four case projects had various issues arising from the external environments, such as the planning permissions (See Figure 6-5). For example, the car park plan and financial problems in the BCLT case. So the external uncertainties, along with the weak provision capabilities of civil society organisations, challenged participated citizens and made the project implementation much more difficult.

8.4 Shapers:

How do the five proposed pillars (including Actors, Partnerships, Ideas, Land and Finance) shape the development of collaborative housing and related initiatives in England and China?

Chapter 7 comprehensively explained the roles of the five proposed pillars, including Actors, Partnerships, Ideas, Land and Finance, in collaborative housing. Here, I use this

five-pillar framework to examine its efficiency by analysing collaborative housing models since 2000 in England to show its analytical generalisation in responding to the research question. The two Chinese cases were provided in Sections 4.3 and 8.2. I also selected the international model of Howard's garden city movement as an illustrative comparative case study, mainly relying on the secondary data provided by Dugald MacFadyen (1970) and Stanley Buder (1969) in Appendix 17. This analysis showed the viability of the results of the five pillars (Actors, Partnerships, Ideas, Land and Finance) to the concept of the Garden city and associated projects.

Spatial justice for people with local links was an essential factor in decentralised affordable housing provision in civil societies (Bunce, 2016; Thompson, 2015; Crane and Manville, 2008). For example, the Broadhempston CLT, a self-build based rural CLT project in England, was a good illustration of the effectiveness of the rationales of the five pillars (Figure 8-4). It showed that collaboration among collaborative housing supporters was complementary with their accountability. Collaborative housing supporters with local links were prominent in the development of collaborative housing concerning where, who and how. Particularly concerning collective cultural entrepreneurship of core collaborative housing members, their local knowledge in access to the production of resources, leadership and responsibilities, produced this goal-oriented accountable collaboration.

Figure 8-4: Analysis of the Broadhempston CLT in South Devon, England

Contexts	Evidence
Pre-history (Spatial justice	• This project was initially organised by a not-for-profit organisation, Land Society, to help six local modest-income

for people with local links)	families to build their homes by using the CLT model to secure HCA's affordable housing funding and planning permission.
(A short accountable relationship between land and housing users, which is the result of collaborative governance in Section 8.5)	• After obtaining the planning permission, these six self-builders (family as a unit) were not satisfied with the cost of the project, so they re-adjusted the housing design and built houses by themselves. • This self-organised CLT project lacked the necessary community infrastructure, such as clean drinking water and public roads. • (In other words, housing users preferred their housing plan given their specific situations). • The family link between one self-builder with the local authority was one of the opportunities to develop a CLT project for local young generations and have access to the land that was outside of the village. To be specific, with government support, this piece site was defined as a 'rural exception site' to get planning permission easily. • (This easy planning permission might imply there were few opponents)
Building trust (local links and cost control)	• Six self-builders, aged between 30 and 50, had limited or no communication with one another before attending the CLT launch meeting.
Housing-related cultural entrepreneurship	• The family link between one self-builder with the landowner enabled the land to be sold to the Broadhempston CLT at the agricultural value.
Accountability driving and guaranteeing collaboration (ideas and partnerships)	• Psychological safety under the limited liability system attracted the six to collaborate with one another concerning the fact that they did not want to 'ruin their friendship' in the negotiations about the collaborative housing project.
	• Accountability in driving the engagement of Resonance, the main funder: *'Okay, sometimes a project would not be viable, but that would always be filtered out at a very early stage. Maybe they are not achieving enough income over expenditure to pay back interest and capital on their loan…So Broadhempston CLT, we really helped. It was a self-build [project], and there is much more risk being involved there. We helped shape that [project], and we got a project manager involved in and on board with the project. So whatever issue we encounter upfront, we can provide a solution for that or advice. But that has always been dealt with at the early stage. And that is what our investment*

	committee process challenge us as an investment team'. (B8, member [redacted] from Resonance, on 26 July 2018.)
Land	• Outside the village with the community facilities issues, such as drinking water.
Finance	• The involvement of Resonance implied that these six self-builders had certain economic capabilities according to the Resonance's responsibility for their customers who were investors. • CAF Venturesome's CLT fund provided £45,000 pre-development funding, which was used to employ the professionals, such as an architect and engineer, and to make the project feasible enough to obtain the planning permission. • After obtained planning permission, Resonance approved the loan of £880,000 through its Affordable Homes Rental Fund, which helped to buy the land (£90,000) and manage the construction fee.
Affordability-Discovering price and common ground	• Six self-builders paid off the loan to Resonance monthly and did not take out the mortgage. • Their 'sweat equity' valued 25% of the equity in the home; CLT always owns 25%. They can buy the remaining 50% after two years of living.

(Source: The author based on the empirical observation on 4 November 2017 and online information, available from https://righttobuildtoolkit.org.uk/case-studies/broadhempston-clt-devon/# Accessed: 22 October 2017.)

In Figure 8-5, wide empirical observations and the theoretical studies corroborate the findings of using local cultural knowledge to acquire resources for collaborative housing development (Thompson, 2015). Social capital and networks were crucial in linking collaborative housing supporters (Lang and Novy, 2014). However, multiple case studies also showed that the real powers were additionally related to the close link between the concept of collaborative housing and the viability of the project. These two aspects underpinned the potential values when citizens made decisions of engaging in collaborative housing.

Figure 8-5: Evidence of five pillars in England

CH pre-conditions	Cases	Evidence
Cultural entrepreneurship	Granby 4 Streets CLT	The gardening culture to receipt members and promote the collaborative action (Thompson, 2015; according to the observation on 29 May 2019).
	Home Baked CLT	The football culture in which core collaborative housing members made food during football matches to maintain the organisational development and raise collective finance (according to the observation on 10 May 2019).
	Leeds Community Homes	The core community collaborative housing members understood who could be the potential collaborative housing members and how to find these collaborative housing users, such as the local intermediate tenures, which further demonstrated that collaborative housing was in the cultural sector (according to the observation on 8 November 2017).
Accountability driving collaboration	Stretham and Wilburton CLT	A local government-supported sub-urban CLT project, the local authority argued that they needed to consider their advantages when seeking partners with the preference of local organisations (according to the observation on 28 February 2018).

(Source: The author)

The English case of Leeds Community Homes (LCH) was a relatively integrated financial capital structure in the planning, provision and production phases (Figure 8-6). It saved money particularly through selling forward contracts of land (common ground) and finance (three-years no interest and repayment) to collaborative housing members (Van Eijkel et al., 2016; Adilov, 2012). Currently, LCH is an alliance between several collaborative housing groups in Leeds that now constitutes an enabling hub.

Figure 8-6: Cash flow in Leeds Community Homes in Leeds, England

Leeds Community Homes (LCH)	Cash flow: The third sector—Public—LCH members (project investors and governors of common ground)—Developer (project constructor and material providers)—LCH users—LCH member investors
Project: 16 collaborative housing units are being built through a Section 106 agreement with a local developer, Citu.	The pre-financial support from Power to Change enabled LCH to meet the financial qualification of issuing community shares.
	LCH used a community share offer to raise money from the public who had dual identities of members and investors with a proposed 2% interest rate (payable from year 4).
	In January 2017, £360,000 was raised through a community share offer. The primary use of the fund has been to acquire sites.
	The local developer, Citu, has its own factory to produce building materials that are sold to the market for self-builders or wide building organisations.

(Source: The author based on visiting the Citu factory and building site, and meeting multiple practitioners from LCH and City company on 8 November 2017 and online information available from https://leedscommunityhomes.org.uk/uploads/2019/02/01/LCH%20Share%20Offer%20Final.pdf. Accessed 1 February 2019.)

There are empirical cases of using crowdfunding strategies, such as the Haringey plan in the UK (https://www.haringey.gov.uk/sites/haringeygovuk/files/hp_april-may_2019.pdf, Accessed: 16 August 2019), the Linz case in Austria (Interreg North-West Europe, 2017) and La Borda in Barcelona (Housing Europe, 2019). Nasarre-Aznar (2018) investigates the relationship between the adjustment of financial resources (funding, access and organisation of housing) and having access to housing to explain collaborative housing. In so doing, collaborative economy, such as real estate crowdfunding, cohousing, and the shared ownership are analysed.

8.5 Design principles:

How are the principles of co-operation, co-production and collaborative governance enacted in England and China?

Collaborative housing, as a progressive idea, within histories, policies and practices, as defined in Chapter 1, affected the rules used in planning, provision, production (construction), consumption, management and governance. In this multiple case study, decisions made by collaborative housing supporters (local community collaborative housing groups with three categories of members, collaborative and business partners), were constrained by territory and extended stakeholders regardless of diverse types of homeownership and land, civil participation and engagement, and collaborative housing-related policies. These collaborative decisions among five types of stakeholders, directly and indirectly affected these planning-governance operational situations.

This thesis mainly focused on the planning, provision and production stages of collaborative forms of housing and defined five types of stakeholders in England and China. These three principles of co-operation, co-production and collaborative governance were used to explain the ways in which these three housing stages were organised among five types of stakeholders to make the idea of collaborative housing work on the ground and to deliver housing products and communities reasonably in the multiple case studies:

- Co-operation: I learned from Brandenburger and Nalebuff's (2011) idea of co-operation that focused on the co-operation opportunities among customers, suppliers, competitors, complementors. I used this idea to explain the land sources

underpinned by the projects which were affected by these five types of stakeholders at the existing land governance system for housing.

- Co-production: It focused on the causal mechanisms of producing four case projects from planning, provision to production, integrating these three contexts of histories, policies and practices.
- Collaborative governance: It considered the efficient institution of collaborative decision-making (of tangible and intangible resources) on common/public land for housing and regional development from planning, provision to production.

8.5.1 Co-operation

The multiple case analysis worked on the question of access to land for collaborative forms of affordable housing provision for people in need on the common/public land in urban and rural areas in England and China. The four case projects and wide observations saw small and empty pieces of land (housing) as resource sources that were not welcome on the market due to the existing qualities and regulations on them. These land sources were generally fair choices for almost all citizens reinforced by these five types of stakeholders. This was because the civil-society solution to delivering new housing products and communities at the local areas challenges the existing land and housing supply-demand mechanisms that were open-access to citizens attached to the places. Therefore, it required justification regarding the ways it increased values to the public and places alongside existing housing products already on offer.

Policy-oriented housing was equally affected by the existing land system in decentralised housing welfare concerning these five types of stakeholders (Moore, 2018). So, the argument built around private ownership (private tenure in China) was challenging for low-to-middle income people in the market mechanism within neoliberal economic governance in England and China. The common condition of four types of land sources, keeping local land and benefits in the locality (communities), implied that the competitive advantage of common/public rights in land for affordable housing provision in disadvantaged areas evolved from the governance system of land for housing and national development in place for the last fifty years following the paradigm of neoliberalism.

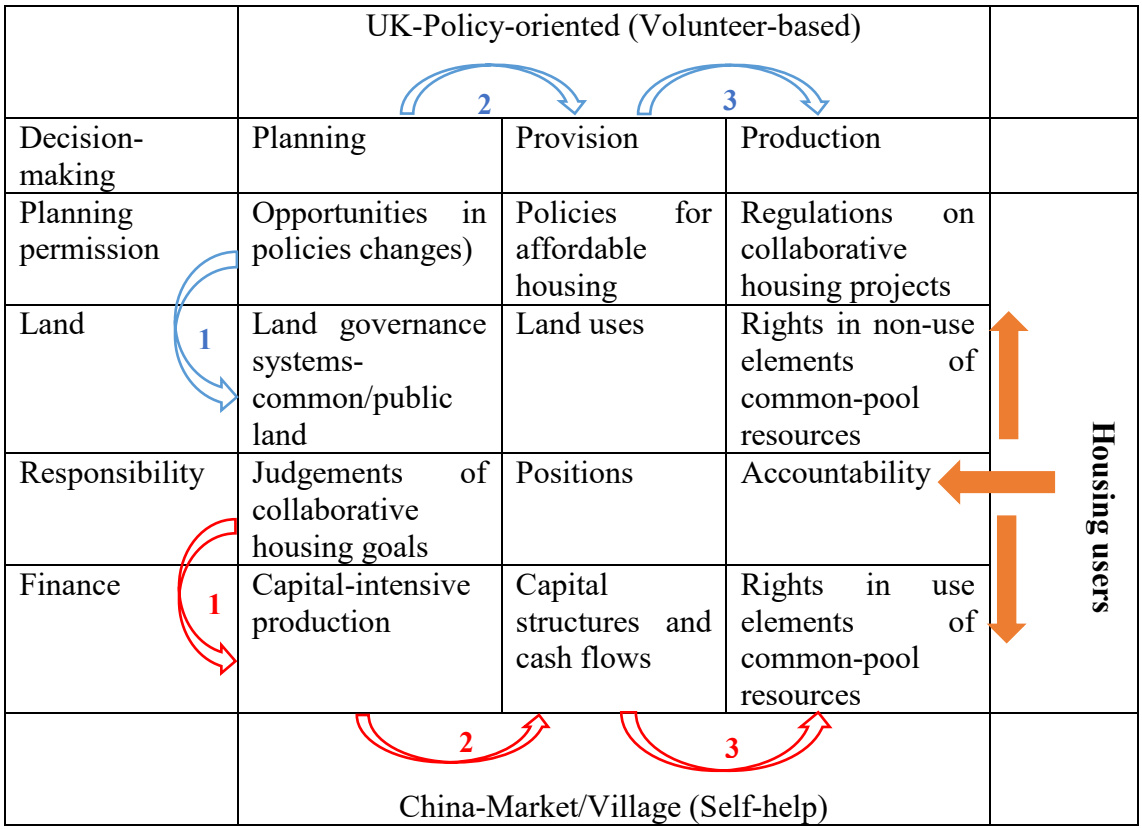
According to four case projects, land, as a scarce natural resource, could be over- or under-used based on its quality. It can also become untenable over time due to its fragility regarding certain business activities. The current land governance system was mainly designed based on ownership and in most cases, comes with certain fixed use regulations. In other words, these fixed terms underpinned by the property rights might lead to the inefficient use of land over time, either by land degradation or unemployment. Four types of land contexts were proposed to consider the use for development over time to improve land productivity based on the multiple case analysis: scale, location, soil classification and slope. They helped to consider the land principle of 'best and highest use' with the combined themes of 'what types of land for development (such as agricultural, industrial and public purposes)' and the 'of what standards of nature land resource' at local areas over time.

8.5.2 Co-production

Across the four cases, four common causal mechanisms were combined to produce the projects: (1) planning permission; (2) land; (3) responsibility; and (4) finance. Figure 8-7 shows the collaborative governance contexts underpinned by the common/pubic land for affordable housing from planning to production in the multiple case analysis. The nature of collaborative housing can be conceptualised in this three-stage matrix of decision-making with the key question of 'who participate in what kinds of decision-making in which phase'.

In the two volunteer-based English cases, the policies related to common/community land for affordable housing provision (such as the legislated CLT in 2008 and Homes England's Affordable Housing Fund) made this field different (Figure 8-7). Meanwhile, multiple responsibilities across the state, the market (such as Resonance), the third sector, community collectives and individuals (such as housing users) were important to the transformations of collaborative housing. In the two self-help Chinese cases, initiators, collaborative partners and business partners were central to the implementations in the state-owned land system. Their responsibilities, risks, knowledge, time and energy contributed to the market-solution in the SYC case and the village partnering the market-solution in the TJC case.

Figure 8-7: The framework for analysing causal governance mechanisms based on multiple case analysis



(The blue arrows were the English approaches to collaborative housing provision; the red arrows were the Chinese approaches from the perspective of the four case projects' initiators. The orange arrows were the proposed efficient institutional arrangements which are provided in Section 8.5.3.) Source: The author

Planning stage. The occasions to capture and understand opportunities in policies of and for collaborative housing were required responsibilities of multiple key people, particularly initiators, over time. A review of the pre-development histories of four case projects mentioned in Chapter 5 below (also see Appendix 16):

- In the BCLT case which began in 2008, an interesting finding was that although the administrative selection in 2012 harmed its finances, the newly employed cabinet member for housing (interviewed in this thesis) clearly understood

housing, including community-led housing. This point was also argued by the chair of BCLT as one of the critical factors influencing success.

- In the WCLT case, the local housing surveys were one of the pre-conditions for WCA to communicate with local parish councils, which brought the opportunities for local core community collaborative housing members to engage in the ideas. Another evidence was that '*Although we can do [cohousing], we are not interested at the moment in supporting community groups that are not focusing on affordability. You know, some cohousing groups are about people who obviously have resources, try to get homes and live in the communities, which is fine. But it really is not objective in helping communities to provide affordable housing that will be able to in perpetuity for local people'*.

  (WC2, an associate of Wessex Community Assets [redacted], on 25 July 2018).
- In the SYC case, the piloted Taicang project with the support of the local government helped Mr X to improve collaborative housing membership and governance systems. For example, the multiple fundraising finance strategy from housing users in the SYC case evolved from the first piloted Taicang project due to the private investors' speculation.
- In the TJC case, the village construction land was one of the key conditions required by the local rural self-help housing policy, going beyond the state land acquisitions.

The inefficient use of land resources, either caused by the existing policy regulations, or their qualities, or both, affected local community collaborative housing groups' perceptions on the relationship between local housing contexts and collaborative housing

(with the idea of common/public land)- where they had been and where they were going. Responsibility referred to this commitment of the collaborative approach to affordable housing provision for people in need. One of the critical responsibilities was that the person(s) who (1) cared about the local land use, (2) had access to and (3) was willing to join in or communicate with the local community collaborative housing group regarding their capability and time preferences. This was a fundamental factor in leading the productive performance given the current high land price in the market and existing national land systems in the two countries. A housing project was capital-intensive, which indicated the high risk, particularly for low-to-middle income people, in the community/family sector. Whether local community collaborative housing members had or could access large sums of investment money directly affected the provision progress and outcomes.

Provision stage. The housing and associated policies brought collaborative provision possibilities and shaped the projects' development pathways in the third sector/market/village sectors, particularly regarding the use contexts of land for housing across the four cases. So, for the causal mechanism of national land governance systems, in the English privatised land system, the high market land price limited the types of land available for volunteer-based collaborative housing projects in line with their capital capabilities and affordable housing provision purposes. The Chinese dual land ownership systems and land for residential housing policies regulated the urban project in the market mechanism and the rural project in the village mechanism. These different regulations further affected the identities of housing users because of the 'hukou' system that was also designed based on the land system. The responsibilities of the causal mechanism of

judgements and the decisions were to address local affordable housing shortage issues across these four cases. Collaborative housing supporters adopted their knowledge and skills to deliver collaborative housing projects in terms of their motivations. A good illustration was the story of BCC transferring the land with £1 to the BCLT that was analysed in Chapter 5. The cabinet meeting record of approving the land transfer showed that '*The proposal to dispose of 325 Fishponds Road for £1 does not have any adverse effect on Bristol City Council employees'* (Bristol City council, 2014). The SYC initiator had focused on the collaborative housing model for around twenty years and experienced the interest temptation regarding the rapid and flourishing real estate industry development in line with the previous successful business backgrounds. A more nuanced understanding of responsibility was four types of personal resources (capabilities, time knowledge and finance) of local community collaborative housing members.

Production stage. The existing regulations, particularly on housing and land, and their associated changes in affecting the use of these policies and regulations over time shaped provision environments and products. For example, concerning the composition of key collaborative housing organisers (initiators and core community members in English cases; core and active community members in Chinese cases) that were affected by the land ownership system, the third-sector-based projects depended on the government financial support in English contexts given their payment histories in the market. The WCLT case was simplified as a government pilot CLT project given WCA's commissioning tasks. Similarly, two Chinese family and village-based projects adopted self-financial models. Therefore, the English government was the main risk bearer, which gave rise to the lock-in effect of the CLT concept into HA's housing model. In the two

Chinese cases, both housing providers and users were responsible for the projects and their associated performance. Furthermore, multiple case studies showed that collaborative housing land and associated projects were also about their positive extensionality in the development of the individual, family, community/village and region, and innovative approaches to responding to various environmental changes.

Responsibility, particularly based on (land-and-finance) resource-based development patterns, contended the important idea of the benefit from the project to understand collaborative housing supporters' participatory behaviours and associated development models. These predicted values pro-actively linked collaborative housing supporters and underpinned their motivations. Given that the idea of collaborative housing was new to societies, the viability of the project was important in influencing the engagement of initiators, core members, collaborators and business partners, which logically enabled or constrained the progress and success of projects. The initiators across four case projects did not only play the role of catalysts in stimulating the development based on their motivations but also governed the direction of development. This was because of the responsibilities behind their jobs or social positions. The individual needs, organisational missions and duties were embedded in the deliberate considerations of collaborative and business partners. The causal mechanism of responsibility was also powerful to explain the role of the limited liability system in contributing to the large-scale community support in the two English cases, and the sense of commitment of Chinese core and active members to the projects because of their identities as 'investors'. For example, the enthusiasm of local community members to the projects was a general common view amongst collaborative and business partners. These collective responsibilities as signals

of community/investors' support enhanced wide supporter participatory confidence. The potential blames were possible explanations for the tensions among core members and collaborative partners in the English cases and core and active members in the Chinese cases, when sharing common-pool rights and resources. The responsibility mechanism could also explain the roles of tertiary and extended stakeholders due to their positions placed by their responsibilities in protecting the public and individual interests.

Therefore, the goal-oriented affordable housing provision in the community/family sector depended on personal/organisational responsibility and finance (as the resource systems), positions and interests. Its relatively weak delivery capability in this sector was required to motivate, align and engage with supporters.

> *'So, I think sometimes, because we [United Communities, BCLT and housing users] have slightly different priorities, it can pull us in slightly different directions. but ultimately, we all want to deliver the homes.'*
>
> (B5, [redacted] Officer from United Communities, on 7 August 2018).

Therefore, the national land ownership for housing had causal power in affecting the collaborative housing land structure (sources and sizes) and the composition of key organisers, which in return affected the project's capital structure, cash flow and performance. This was because of a key question: 'Who had what types of rights to use common-pool collaborative housing development rights to require whose rights to live in places in the redistribution of provision work?' In practice, reflecting on the thesis title of the relationship between commons and partnerships. By way of explanation, it was to consider

i. local land linking who was to become collaborative housing supporters, who was required, who can use common-pool housing underpinned by the land;
ii. to what extent these supporters linked to demanders of rights to places (their relationships);
iii. under what kinds of formal and informal contexts these supporters could contribute and what types of resources (land, finance and labours) for provision in responding to their relationships to the places they were attached to (including the relationships to demanders of rights to places).

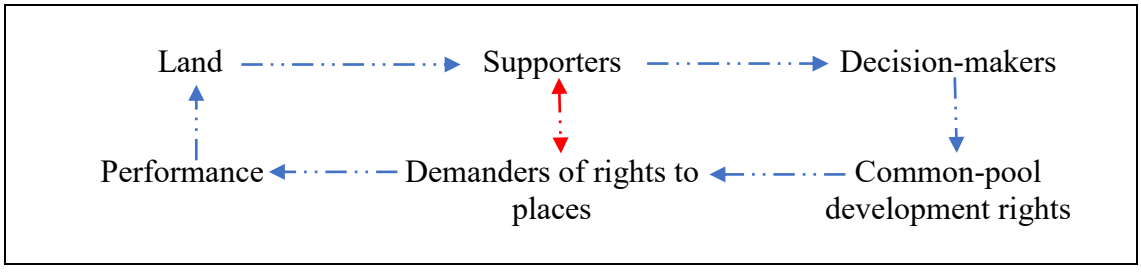
8.5.3 Collaborative governance

The multiple case studies showed the governance principle of the accountable collaboration within local community collaborative housing groups and across five types of stakeholders. The actual use of collaborative housing tended to be locally decentralised in certain aspects, such as the selections of housing users and the design of housing communities, but the protocol planning permission for development remained centralised. The two Chinese cases showed a shorter distance between collaborative housing supporters and demanders of rights to live in the places than that of the two English cases. This constituted a step towards optimality from five types of stakeholders' positions and situations (including housing users) in the national land system as analysed in Section 8.5.1. In the two Chinese cases, core and active members contributed to resources, particularly finance, to become the shareholders of the legal entities that own real estate and housing users who own properties. In contrast, in the two volunteer-based English cases, like the analysed Finance pillar, local CLTs' groups were logically not willing to

and did not contribute to financial resources. Consequently, they had shares in the legal entities that owned common ground, rather than owning the entire housing development rights. These were partially owned by collaborative partners, HAs who acted on behalf of the government, which led to the lock-in mechanism of the property model as analysed in Chapter 6.

Therefore, the multiple case analysis indicated that efficient collaborative forms of housing governance (from planning to production) were required to be more customised by housing users to materialise resources and organise operations to improve performance of the projects in the civil society. This was because there were different types of decisions of shared rights in governing decentralised affordable housing provision, especially for housing users and their purposes. A short and accountable relationship between the land (buildings) that was not welcome in the market and demanders of rights to live in the places was crucial to advance the collaborative provision process and maximise the outcomes of housing and communities for housing users (also see the Broadhamdon CLT case in Section 8.4) (Figure 8-8).

Figure 8-8: Efficient collaborative forms of housing provision



(Source: The author)

The results analysed in this thesis were generally in agreement with Ostrom's (1990) eight design principles of local CPR management regarding the efficient arrangements for housing provision, which are organised in four contexts:

(1) Housing users participated in the collaborative housing development (from planning to production in this thesis) to consider the appropriate operations and associated consequences (housing and community products) based on their situations (capabilities, knowledge, time and finance) and local conditions.
(2) Housing users had access to monitor the projects and address their conflicts in non-governmental collaborative organisations. (The idea of 'a scale of graduated sanctions for resource appropriators who violate community rules' was the only rule that has not been examined in this thesis.)
(3) Self-determination of collaborative housing projects recognized by higher-level planning authorities.
(4) The WCLT project was a good example of multiple-layer organised governance.

Foster (2011) argues the potential of the involvement of users in addressing the congestion or degradation issues of urban common resources, such as land, housing, parks and streets under the government regulatory slippage.

However, collaborative housing as an open and complex idea had three types of land, human and housing commons, which had the power to link participants with different purposes (see eight common-pool development rights) and positions (within the civil society organisations and across the sectors, such as Resonance as analysed in Section 8.3.1) to enact it in civil society (Czischke, 2018; Mullins and Moore, 2018; Fromm, 2012;

Davis, 2010a; Pestoff, 2008b). This caused three different aspects based on the multiple case analysis below.

(1) The purpose of the initiator (and even including main core collaborative housing members) had power in determining the happening places and types of collaborative housing. For example, BCC in the BCLT case and WCA in the WCLT case wanted to have certain controls on housing user rights concerning exit prices to preserve the benefit of affordability in perpetuity. Meanwhile, a collaborative housing plan positioned itself based on the value shaped by the different purposes on the ground, which helped to attach collaborative housing supporters and overcome local cultural barriers (see the changing behaviours of local community collaborative housing members in Section 6.3.2).

(2) The viability of the project was one of the decisive impetuses for core local community collaborative housing members, collaborative partners and business partners to make participatory decisions across the four cases. For local community collaborative housing groups, one of the main reasons was related to their weak capabilities in delivering affordable housing and services. Their provision capabilities along with the absence of payment histories and lack of asset cover, in return, negatively affected collaborative and business partners regarding the operational legitimacy and governance rationale.

(3) Supports from the community/family sector were also important to produce the common-pool collaborative housing development rights, as common-pool resources in this thesis, regardless of the role of housing users, in practice. One of the key reasons was that collaborative housing, as an idea, considered the whole local housing and related system to obtain community/family support and in return, create

collaborative opportunities and across multiple supporters. This was evident in the strategy of multiple benefits to recruit supporters.

The theme of 'doing by' is to address the main issue of resources for the collaborative housing development with the focus on the planning and provision stages (Figures 8-7 and 8-8). It contributes to the knowledge of how citizens collaborate to provide affordable housing as an alternative solution to the traditional strong roles of the state and privatisation of public resources. In a goal-oriented project, a holistic and accountable approach is necessary for making collaborative decisions among these two parties, collaborative housing users (organisations on behalf of them) and housing providers through these three stages. Results in Section 8.5 are used to provide efficient institutional design principles and arrangements of collaborative approaches to affordable housing governance in Sections 8.7 and 9.3.4.

8.6 Outcomes:

What are the common and distinctive features and outcomes of these collaborative housing initiatives in England and China?

I answer this question from the perspectives of land, human and housing commons to consider the shared rights in land for housing in England and China highlighted in Section 1.2.3. It helps to understand what make the collaborative forms of the housing development process different from the state and market housing.

Firstly, the multiple case studies revealed the importance of land (leasing-year, type and access arrangements) as analysed in Chapters 4-7. As showing the condition of access to land, keeping land and benefits into the locality in the four case projects, another interesting finding is that when allocating land through common/public ownership, governing rights also contribute to the result of protecting affordable housing from global market forces. There has been a growth of overseas investment in domestic real estate industries over the last decade (De Verteuil and Manley, 2017; Beswick et al., 2016; He et al., 2011). One driver for collaborative housing has been to protect communities from the impact of this investment on the affordability of housing for local people. Furthermore, across the four case projects, the common features of mutual-help and self-help were observed in the local community/collective land governance use, management and associated benefit-sharing in Section 5.4.

Secondly, the case studies showed that despite the diversity of contexts and models, the processes of spreading and implementing collaborative housing ideas took time and required several overlapping processes. There was the need to (1) spread innovative ideas beyond core groups of supporters, (2) to engage stakeholders who bring land, money and expertise, (3) to build the engagement of future residents in collaborative governance, and (4) throughout the process to overcome a series of legal and policy hurdles.

Thirdly, the four case projects were small-scale. Outcomes indicated the attachment to place and to local communities, and it was seen that people with local links to areas with increasing affordable housing needs and issues were the main reason and outcome given

they were attached to such places (see Chapter 6) (Hackett et al., 2019; Davis, 2017; Fitzpatrick and Pawson, 2014; Fitzpatrick and Watts, 2017; Meehan, 2014). The attachment was not necessarily to a pre-existing community but also about become part of a different (or even new) community at the local area. Collaborative housing was viewed and used as an alternative solution to and expansion of affordable housing provision particularly for local people and as well as for those aspiring to be part of a specific community or area (see the B6's argument, p. 248). Meanwhile, lifetime residential behaviours and contexts were found in the multiple case analysis.

8.7 Critical reflections

8.7.1 Limitations

The major limitation of collaborative housing confirmed by this study is about scale. Citizen participant and engagement in housing provision and improvement remains limited and seems to address small-scale housing issues (Lang et al. 2018; Heywood, 2016; Moore and Mullins, 2013). It is not the complete answer to the financialisation and the housing supply gap. In the thesis, the four case projects were relatively uncommon parts of the housing systems in England and China and that there had been only limited scaling out of collaborative housing. For example, there were 172,548 community-led housing units provided by CLTs, Co-operatives, Cohousing and Self-help Housing organisations in the UK in 2015 (Heywood, 2016). The BCLT case had 12 housing units; in the WCLT case, both the NCLT and SCLT project had 10 housing units (Figure 6-11). Concerning the Chinese contexts, as analysed in Section 4.3, there were three complete

projects and one under construction out of twenty-five urban collaborative projects that were organised by buying land and existing buildings since 2003 (Appendix 12). The analysed SYC case showed a total of 70 SYC housing units for 34 participants and the initiator and ten policy-oriented housing united in the commercial real estate development mechanism (Figure 6-11). Although Chinese rural settings, such as collective land, autonomy and collective living, seemed to be advantageous to collaborative housing, in the TJC case, village-led housing reforms were depended on factors, such as the leadership of village leaders and land acquisition (Song, 2015; Wang and Wang, 2014).

However, it does provide an important and decentralised response to housing system problems, such as lack of choice and lack of lifestyle-related options (Lang et al., 2018; Mullins, 2018; Mullins and Moore, 2018). It can also provide models to challenge the neoliberal economic governance of housing (financialisation/marketisation) for example by using community land trust mechanisms to take some land and housing out of the speculative market (Davis, 2017).

(1) Limiting factors in the English contexts

Based on the two volunteer-based English case projects, I discuss two important limiting factors that can inhibit scaling up.

Limited local government support. There is much that local authorities could do establish the conditions for scaling out and scaling up, particularly in relation to access to land, finance and expertise and these have been covered in the practice literature (such as Cooperative Council Innovation Network, 2018). The thesis provided some in-depth

insights into what effective local authority enabling can achieve. For example, the local authority in Bristol (BCC) set up and managed an innovative pipeline with the local BCLT group, helping with access to sites, finance and expertise. The BCC also helped the BCLT group to validate the viability of the self-finish CLT model and tested whether this model could be scaled. It remains the case that few local authorities have adopted such a leading role as Bristol in facilitating collaborative housing projects. A recent survey by National CLT Network (2019) found that only 40 local authorities (14% of all authorities) had adopted policies to support community-led housing, and only 9% had disposed of land and 3% leased land to support CLH projects.

Participants' purposes and willingness to endure long development periods. The two English cases showed various participatory purposes apart from their shared mindsets and values. For example, multiple benefits from the projects were suggested to use to recruit local community collaborative housing members. When their participatory purposes were not meet, they might reduce their efforts in supporting and directly implementing the projects (see the WS4's statement, p. 210). Meanwhile, from the perspective of local authorities and HAs, collaborative housing seemed to be not only economically unattractive but also demanding and time-consuming due to the unclear and complicated production process (such as the WN7's statement, p. 207). Furthermore, in the multiple case studies, the small and empty land highlighted the opportunity for civil society organisations to deliver affordable housing. However, it also showed the relatively high construction costs in comparison to cost-saving from the bulk purchasing of materials as in a large-scale project. Another concern was about the leasing time of land for participatory and collaboration (see the WS1's statement, p.196). These land issues may

lead to potential participation risks for housing organisations and individual stakeholders. This thesis found that there were different natures of implementation decisions for production. So the development problem of collaborative housing in a multiple-stakeholder project was not only about lack of resources, but also about the ineffective integration of their resources, knowledge and skills. A risk was that without strong incentives, citizens, organisations and sectors might fail to engage.

(2) Limiting factors in the Chinese contexts

Based on the two self-finance Chinese case projects, I discuss two important limiting factors that can inhibit scaling up.

The essential role of cultural entrepreneurs in facilitating bottom-up housing projects. Collaborative housing may be limited by a lack of 'cultural entrepreneurs' willing to use their own land/resources for development in the urban context or village-level institutions. For example, the existing urban land auction system and cultural entrepreneurs were two restrictions in the market mechanism as the SYC did in this example. The TJC case showed the importance of the village leaders who cared about the sustainable village development and showed strong leadership concerning the rural collective land acquisition.

The insufficient institutional environments and the complexity for production. Chapter 2 had analysed this theme deeply, such as lack of polices, legal contexts and sectoral support for collaborative housing in comparison to the English contexts (Lu et

al., 2018; Wu, 2007; Lu, 2008; Miao, Song, Cheng and Song, 1997). The two self-finance Chinese cases had shown that putting this idea into practice was a complicated process. Information was important to the public who were normally geographic distribution. The SYC case saw the negative influence of these insufficient institutional contexts negatively on citizen participation and engagement, as well as wider organisational and sectoral supportive environments. Meanwhile, the use of rural collective land for housing was hierarchically controlled according to the TJC case. Although these two self-finance projects had shown great flexible and creative approaches to access to land and finance sources, they tested a wide range of ideas and faced various challenges from the dynamic surrounding environments. They saw the complex planning and administrative procedures for production. Participants experienced the pressures from family members and friends and wide housing options. Furthermore, the final housing price should be affordable and appropriate to participants who were in housing need and invested in the project. The housing units should be accessible for them (as the SYC case was not in the construction phase). So in China, the limitations of a self-finance collaborative housing model were related to the existing housing system, the flexible financial technique, the sustainable market opportunity, and the valid project.

8.7.2 Negative outcomes and unintended consequences

(1) Negative outcomes

The multiple case studies revealed certain negative impacts of collaborative housing on individuals, economics and even societies, but these unfavourable outcomes depended on situations and frames of reference for stakeholders.

In the English contexts, for example, the self-finish BCLT model was influenced by the unexpected financial affairs concerning its completion. The BCLT housing renters who participated in the housing construction expressed their concerns about the five-year leasing contract. The SCLT case showed the economic concern, like 'not-in-my-back-yard' for practitioners' friends who lived in the area. This caused certain friendship issues for these practitioners. The two volunteer-based English case projects indicated the public environmental considerations related to protecting local animals and natural environments, such as twice local campaigns in the BCLT case. In other words, collaborative housing may not meet all citizens' interests.

In the Chinese contexts, the self-finance SYC case showed the importance of the support of friends and family, which sometimes led to certain emotional pressure for practitioners. Meanwhile, this project was under government review about its fund-raising legality as there were issues from wider bottom-up activities. The TJC case showed the tensions between small property housing issues, which might be not subject to regulations (Song, 2015). Furthermore, as analysed in Section 4.3, the urban Wenzhou case (organised by urban citizens) showed the issue of the rural collective land for urban citizens in housing need. So citizens might go off into various directions and cause risks through the misinterpretation and misconduct of policies and information due to various reasons.

(2) Unintended consequences

Reflecting on the thesis results and the existing literature, I discuss two important potential unintended consequences to be addressed.

The ineffective use of collective/public resources for private benefits. For example, in the self-finance SYC case, after bidding the land, participants (housing users) could sell the land and shared the benefits from the increased prices, and then buying market housing units. It highlighted the importance of the social responsibilities of participants engaging in these housing activities. The TJC case showed the small property housing issue, which might be a potential risk for local authorities to support this idea. This was because of the dilemma between the rural autonomy system and the government supervision concerning housing governance, especially the use of rural collective land (Song, 2015). Furthermore, some Chinese small property housing communities had issues of unregulated assets (Liu et al., 2010; Wang and Wang, 2014).

The literature showed the how the logic of conflicting member interests and the logic of competition and growth transformed cooperatives from a progressive force for self-help democracy into a privileged market niche (Sørvoll and Bengtsson, 2018). A negative result was that future generations in housing need were excluded (ibid.). So one critical question was asked-whether public support can be justified if the participants are self-selecting as this may not reflect the wider need or general interests. Therefore, it is necessary to consider how to consider the efficient use of collective/public resources. The literature shows three approaches, including

i. 'asset locks' and housing deed restrictions in CLTs to keep housing affordable to future entrants when original members move on (Davis, 2017; Towey, 2008);
ii. the use of long leases as in Barcelona case to protect the public interest through long term control of land and ability to influence who benefits and limiting the

extent of private benefit users who can appropriate from the public funds (Housing Europe, 2019);

iii. the use of income limits for eligibility and registration on public housing needs register (Lang and Mullins, 2015; Moore, 2018).

So the effective state support and regulations are critical for the growing empowerment contexts in the modern neoliberal housing structures worldwide (Ettyang, 2011; Crick, 2017; Lang and Mullins, 2015; Moore, 2018; Housing Europe, 2019).

Lack of political support and interests in the civil-society solution to land for housing and development. This thesis showed the crucial role of the government in the land source for its development. In other words, if decentralised affordable housing is here to stay in the community/family sector, then the real consideration must consider how the housing system work in the decentralised provision and governance, such as how to govern the transactions and collaborative consensus, planning protocol, and governance system itself. The literature highlighted the relationship of political support to the sustainable development of mutual models of housing (Rowlands, 2012; See Beijing Real Estate Yearbook, 2008-2016). So it was crucial to '*explore new ways to involve citizens in democratic decision-making on a more regular basis and more frequently than at periodic general elections* (Pestoff, 2008b, p.7). Meanwhile, it was also crucial to enable citizens to effectively use their rights in a democratic manner concerning the auditing of the long-term development of collaborative housing.

8.7.3 Reviewing the development

This section provides a short concluding summary of the collaborative housing development in England and China. The neoliberal economic past of housing governance and globalisation bring the changes in modern housing supply-demand contexts, which cause its re-occurrence at certain places in these two countries. This thesis also showed that resources for development were contextual-based and varied in the projects and countries. The constraints of its implementation were not only about lack of resources (such as land), weak provision capabilities of civil society organisations, and limited supportive organisational and institutional environments. It should pay more attention to the right persons, especially local cultural entrepreneurs, who can help to materialise and enact. Meanwhile, collaborative forms for housing organised in civil societies require a well-designed governance mechanism to reduce participated individuals and organisations' risks that were caused by the planning permissions and associated local conditions, transactions and governance of common-pool resources, and collaborative consensus and commitments to projects. Furthermore, it is also necessary to the role of land in housing and welfare as these related institutional contexts affect our ideas of housing, such as demands, governance principles, provision strategies, and its wider social impacts. Therefore, four points are needed to be considered if collaborative housing is to provide viable and sustainable solutions in the community/family sector, which are considered in Section 8.8 (Learning points):

i. To build a sufficient institutional context in the existing housing sector, such as the specific planning permission;

ii. To re-consider the land governance mechanism and design effective use principle for housing and regional development;

iii. To create a well-design governance model to improve practitioners' commitment, especially the incentive system for the initiators, and to ensure the effective use of public resources for the current and future generations;

iv. To provide a structural implementation system to integrate multiple stakeholders' knowledge, skills, techniques and views, and to reduce participants' participatory risks, especially the financial investments from citizens.

8.8 Learning points

Throughout the thesis, I have attempted to draw out positive learning points from the case studies covering many aspects of the process of collaboration in its institutional contexts (see in particular Section 8.5 on design principles). I propose four principles of modern collaborative forms of housing governance to provide the best prospect as analysed above.

The planning permission: When decentralising housing responsibilities, regardless of addressing housing shortages and or improving housing conditions, it is crucial to consider the planning system to promote the validity of collaborative forms of housing development. The development purposes on commonly pooled land resources should be considered within the planning protocols, such as land sizes and infrastructure. In other words, it is necessary to categorise different types of collaborative housing projects based on the economic capabilities of housing users. It helps to reduce transaction and

transformational costs of collaborative forms of housing to address diverse housing-related demands in societies.

The land sources: Land (including buildings) productivity, utilisation and values are three important points when considering the best and highest use of national land resources. The changing qualities of land, as a natural resource, over time, should be highlighted for housing and regional development. The civil-society solution to providing goods and services that are in need is related to the place-based development idea. It helps to improve the use of efficient resources through facilitating the shared rights among citizens beyond the land and reduce social costs.

The collaborative responsibilities: The identities and qualities of collaborative housing supporters are important to collaborative forms of housing in case of speculative behaviours. The SYC case is a good example when considering the terms of housing users who are in housing need and demands to avoid speculative behaviours toward the housing. Meanwhile, the criteria and numbers of collaborative and business partners in a project are worth considering and exploring to achieve the best collaborative forms for housing and regional governance.

Trust and accountability in project governance: Building and maintaining trust is essential if collaborative housing projects are to attract and retain participants, especially where they are putting their own resources at risk. Some of the critical trust-building mechanisms found in this study were shared values, transparent contracts and accountable decision making, which were all important in project viability and implementation.

CHAPTER 9: CONCLUSION

9.1 Introduction

The purpose of this chapter is to highlight the main arguments and new contributions this thesis has made to the overall investigation in the field of collaborative housing in an international context. This cross-cultural study extended the existing literature in exploring housing and associated dynamics in England and China (Mullins and Moore, 2018; Lang et al., 2018). This is one of the first structured explorations of collaborative housing in these two very different contexts and in this sense fills gaps in existing knowledge. Furthermore, the method used for this exploration led the researcher to question the underlying principles and mechanisms of both contexts. One key point to draw attention to here is how as my learning and understanding grew, the research questions and gaps that had seemed most important to me also changed. To be specific, the application of critical realism enabled me to identify new research questions (see Section 1.4) and two main emerging gaps that I had not envisaged at the literature review stage (See Sections 9.3.1 and 9.3.4).

This chapter begins by reviewing the main findings concerning the thesis aims (Section 9.2) to show its significance and the unique findings contributed to the overall research of collaborative housing. It mainly reflects on the extent to which I have filled the four main research gaps identified at the start of the process (Section 2.5, p.85). When analysing the four case projects, I took those gaps into account and compared their seminaries and differences in England and China.

The second part evaluates the critical contributions of the thesis in relation to knowledge (Section 9.3.1), method (Section 9.3.2), theory (Section 9.3.3) and society (Section 9.3.4). Each section consists of two parts. Firstly, based on the main contribution, it highlights the logical development of forming an understanding of the nature of modern collaborative housing. It helps to evaluate and analyse this complex research topic. Secondly, it provides critical reflections on each central research gap addressed. They are beneficial for academics, practitioners and government officers who seek to find strategic mindsets in the areas they are interested in to make real changes.

The last part (Section 9.4.1) reviews the implications of the thesis for the do-it-yourself potential of collaborative forms of housing governance in involving stakeholders from across civil society, while Section 9.4.2 briefly suggests some ideas for future research.

9.2 Thesis aims and findings

Originated from the idea of the consumers' participation in housing design, collaborative housing, as an umbrella concept of various alternatives to the public and market housing, has emerged and developed internationally since 1990 (Fromm, 1991). Previous studies did not address, in much detail, the relationship of collaborative housing, as an idea, to the neoliberal housing era. This study aimed to understand (1) the nature of the re-emergence of collaborative housing and (2) how it was positioned as an idea to provide legitimacy to secure resources from public and private sources and a rationale for collective project governance in a society. Reflecting on the scoping studies and the literature, I selected the four case projects with different settings and combinations of

factors in England and China. Here, I provide the main results to show how I addressed the four main research gaps identified in the literature (Section 2.5, p.85).

(1) To explore the relationship between practitioners' intentionality and collaborative housing as an idea. In this thesis, the supply-demand sense-making analysis (Section 8.2.3) was created to understand the relationship between practitioners' intentionality and collaborative housing that were used to meet the needs of extensive and diverse contemporary lifestyles in England and China. It primarily explored the role of collaborative housing in the housing systems and changing political, economic and environmental contexts. Section 8.6 (Outcomes) also showed the critical purpose of addressing affordable housing issues by using the idea of common/public land. Meanwhile, apart from affordable housing provision, Section 5.3 (Case descriptions) highlighted the motivations of four types of initiators:

- BCLT case: BCC attempted to establish small housing associations;
- WCLT case: WCA focused on community resilience;
- SYC case: Mr X was interested in the idea of customer-designed housing;
- TJC case: Nahe village collective wanted to improve village collective economic situations on the collective land.

These cases also showed how new professional niches were developed as professionals became used to working with collaborative groups, particularly social investors and entrepreneurs. Furthermore, one of the key research topics addressed was seen the new understanding of the core members of the local community collaborative housing

organisations, which were their housing-related backgrounds and defined as 'cultural entrepreneurship' in the Actor pillar. This also showed that the changing housing-related culture could shape local people who are crucial to bringing new institutions bottom-up.

(2) To investigate the collaboration between state, market and civil society stakeholders in providing housing services to manage modern housing challenges. The multiple case studies examined the differences in how these three sectors considered collaborative housing practices and changed their actions to find more meaning and add values to modern housing contexts in England and China. In England, the 2008 legislation for CLTs and the associated involvement of some local authorities and other actors created institutional and operation environments for development (Moore, 2018). In the two volunteer-based English cases, the state (local authorities) saw it as a positive partner who detected what regulations for development local collaborative housing organisations should know, and had supported resources to make them progress. The market sector began to make efforts to understand modern housing challenges and care about the social meaning of their work. This was seen in the cases of Resonance (a financial institution) that supported community-led activities (including housing). Another example was Citu (a real developer) that knew the importance of environment and community in the housing and built contexts to frame its ways to deliver housing products and services.

Given the different urban and rural land use contexts for housing, the two Chinese self-finance projects were implemented in line with the market mechanism and the village-autonomy mechanism respectively (Song, 2015; Wang and Wang, 2014; Wang, 2014).

Their development involved following strict legal and policy guidelines for how to obtain resources, specialised skills and planning permissions before they were enacted. Their growth required little government support in elements for housing production, such as land and finance sources, but needed specific supervision on how to reduce participants' investment risks and stress involved in their participation. These two case projects were built based on the personal, organisational and social networks. Involved organisations from the market sector were based on these connections.

In my thesis, I mainly examined the essential conditions of core local community housing members, participating relationships, collaborative principles, land features and financial strategies for decentralised affordable housing provision in the community/family sector in these two countries. These formed the five-pillar framework (Actors, Partnerships, Ideas, Land and Finance). In this framework, accountable individuals and organisations were structured by limited-liability-partnerships. Democratic discussion and governance contributed to the productive collaborative environment. Inefficient use of land and housing properties and flexibility in finance brought opportunities for the community/family sector to deliver affordable housing and services despite its weak provision capability. Meanwhile, the effective institutional arrangements were useful to reduce transformational and transaction costs of collaborative housing, such as the productive use of four types of citizens' resources (including capabilities, time, knowledge and finance) and the appropriate decision-making progress. As analysed in Section 8.5, the results of the five-pillar framework showed their external viability and applied in other contexts.

Furthermore, I also examined broader elements that made collaborative housing practical. For example, local links and the viability of the project were the two key elements in forming a multiple-stakeholder collaboration, apart from the shared mindsets and values of stakeholders (Lang and Mullins, 2019; Lang et al., 2018; Czischke, 2018; Moore, 2018). The critical analysis of barriers (Section 8.3.2) and limitations (Section 8.7.1) also provided in-depth insights into the collaborative issues. For example, Section 8.7.1 showed that the ineffective integration of stakeholders' resources, knowledge and skills was also a development problem in a multiple-stakeholder project regardless of limited resources, capabilities and institutional environments.

(3) To explore the role of the public, such as participants and housing users, in collaborative housing. In this cross-cultural study, the local community collaborative housing members were the participants focusing on affordable housing and related changes in the places they were attached to. They decided, guided and even implemented collaborative housing models with one of the core ideas of spatial justice for people with local links. The core members of these organisations made great efforts to recruit members to build community support by using multiple benefits that could be obtained from the projects. The communication strategy was not pointed out in much detail in the literature. But this strategy might cause the collaborative risks of organisational members concerning the achievements of their participatory goals.

The existing literature review showed diverse funding sources of collaborative housing (Fromm, 2012; Gruber and Lang, 2018). One concrete project had mixed government grants and broader organisational and individual investments, which was also seen in

multiple case studies. Although such a financing approach would help civil society organisations address financial resources, it seems to cause some governance issues of a project due to the resource dependency (Moore, 2018; Droste, 2015). In this thesis, a core finding was the early participation of housing users in the financial decision-making of the project, which had a positive influence on the project performance, such as housing and community design, and the cost. Such transaction approach and context also helped to mitigate the risk of relying too heavily on one or another primary external source. This result had a significant implication for the understanding of how collaborative forms of housing governance as an alternative, transcends both state and market solutions to achieve changing housing aspirations and ideas.

I also noted that the flexible and creative transaction of collaborative housing caused a complex governance structure through the critical reflections on barriers, limitations and negative and unintended consequences. There is a lot of money in the community/family sector to delivering affordable housing concerning the uncertainties in planning systems and related housing supply situations. So if we want to institutionalise collaborative housing as analysed in Section 8.8 (Learning points), it is necessary to consider the contract to govern how we interact and contract with each other, to establish trust between participants, and to reduce investment risks for individuals, organisations and sectors.

(4) To understand the relationship between collaborative housing and housing welfare historically. Collaborative forms of housing historically exist in an international context. Their primary functions have always been shaped by the purposes of the practitioners concerning the changes of political, economic, social and cultural

environments (Ache and Fedrowitz, 2012; Droste, 2015; Lang et al., 2018). In England and China, since the 2000s, collaborative forms of housing practices re-emerged and saw their roles as much more than the idea of keeping housing affordability regarding the financialisation of housing. These self-organised activities gradually paid attention to modern housing supply-demand contexts and approaches that might improve people's housing-related wellbeing quickly. So if the main policy focus is on numbers and affordability, then collaborative housing might not be seen as the most efficient delivery method. But it has broader positive social impacts, such as tackling loneliness and taking housing out of market pressures, rather than that fact that all need to build new homes. This thesis also found that it saved money from different development stages and contexts concerning citizen participant and engagement.

The neoliberal economic governance of housing since the 1970s in England and China gradually reframed the role of the government in housing welfare. The analysis revealed surprising similarities between their pathways of land governance for housing and development. The distribution of power on the land to facilitate community-based economic activities impacted on civil participation and engagement and made this field different. For example, the former collaborative housing and related initiatives that happened before and around 2010 had very different contexts in the mortgage markets from their recent financial environments in two countries. Section 8.5.2 (p.288) showed the land mechanism about the development pattern of collaborative housing. A new direction taken here was to consider the role of land governance as a dimension of welfare, which is analysed in Section 9.3.1. This highlights the importance of place-based development ideas in regional sustainable development. This is because a national land

ownership system seems to be stable and has limited changes historically. And there is a less direct evaluation mechanism of social housing and related policies. So the early and effective interventions are necessary to disadvantageous individuals, communities and places. Section 9.3.4 provides an essential insight into effective collaborative decision-making among multiple stakeholders.

9.3 Thesis contributions

9.3.1 Contribution to knowledge:

The similar English and Chinese pathway of land governance for housing since the 1970s.

This thesis contributed to the understanding of the decentralised housing provision in the community/family sector in England and China. In an international context, Netherlands seemed to see a trend towards the decentralisation of collaboration and the participatory role of community/families in housing provision and a shift from the third sector given the policies of Big Society in 2010 and the New Dutch Housing Law in 2015. Decentralisation was sufficient, but a not necessary condition for collaborative housing to respond to. The analysis of what practitioners did and what they could do in practice revealed the extent of and limits to autonomy enjoyed by civil society actors in resource allocation and management. This focus on actor behaviour also revealed the power and nature of neoliberalism and the trend toward different forms of decentralised governance.

Here I consider an emerging research gap addressed, land governance, which was essential for me as part of the learning process. Chapter 2, Literature Review, found

housing and welfare as a critical macro-domain for the study of collaborative housing, but did not at that stage consider the role of land governance within welfare systems. The land economy fragmentation disrupts the existing social housing provision (Davis, 2017; Moore, 2018; Red Brick, 2018). So I explored the relationship between the disabling conditions (such as land contexts underpinned by the Land pillar rather than land sources) and the competitive advantages of how collaborative housing advanced the understanding of the development pathways. One crucial finding was the similar English and Chinese pathway of land governance for housing since the 1970s.

Meanwhile, this thesis showed that land productivity was not only related to the particular field housing organisations worked in, but also to how they worked. For example, in England, HAs work with local CLT groups to have community support to obtain planning permissions (Moore, 2018). The BCLT case showed a practical approach to public land transfer to a local organisation. Bristol City Council protected the public interests and remained accountable to society because no market and wide social organisations were interested in the land (Bristol City Council, 2014). The SYC case illustrated the development of a small-scale real estate project to address urban citizens in housing need by bidding a small piece of land that seemed to be not economical for the large real estate companies.

Furthermore, the multiple case projects showed that the creation of value of land use and governance could not be centralised regarding the decision-making. This was seen in two ideas of community/collective land for community/collective use, and keeping local land

and benefits in the locality (communities), which were essential to landlords. Another interesting observation was seen the recently issued 'Decision on the authorisation and commission of the approval right of land use' in China on 12 March 2020 (http://www.gov.cn/zhengce/content/2020-03/12/content_5490385.htm, Accessed: 14 March 2020). This policy showed the deregulation of state land use (mainly agricultural land) from the national to regional and city levels. It would be piloted in eight cities, such as Beijing, Tianjin and Shanghai. It aimed to empower provincial local governments to improve land-use efficiency based on local conditions. It helped to speed up project implementation to meet social and economic demands for development.

Critical reflections on the knowledge contribution: Reflecting on the English and Chinese contexts, it appears that collaborative housing projects organised in civil society were determined by three settings: (1) what the participatory purposes were; (2) what types of materials (such as land and financial resources) and non-materials (such as common-pool housing development rights) were collaboratively governed and (3) how their collaboration and governance were performed. The different combinations and identities of multiple participants, decision-making stages and engagement levels in the specific project implementation, led to different development pathways, patterns and outcomes. Collaboration within and across civil society organisations modified the conditions and terms in the housing sector that were agreeing with state/private-sector solutions to serve particular groups. Understanding different types of commitments of participants was crucial to figuring out the role of modern collaborative forms of housing governance in civil societies. This was because the different forms of citizen participation and engagement defined their value propositions in responding to housing and related

contexts needed in societies. Meanwhile, it helped to analyse their core offerings, going beyond looking at identities of housing users and features of housing and wider community outcomes.

Furthermore, the multiple case analysis considered the trade-offs between collaboration among multiple individual/organisational stakeholders, power distribution, and effective governance mechanisms in reducing transaction costs. It found that decentralisation of affordable housing provision worked because of the sustainable engagement of the community/family sector in practice. The contexts and promises of collaborative forms of housing in modern societies were in relation to what policymakers and practitioners, particularly citizens, aspired to do when they made and implemented collaborative decisions in this field. Importantly, I considered the connection between the disabling conditions (such as financial capabilities underpinned by the Finance pillar rather than financial sources) and the different performance of successful collaborative housing projects. This analysis model discovered where their effectiveness was from, in which ways the consequences were generated differently, and what the nature of any barriers and limitations was.

9.3.2 Contribution to method:

A cross-cultural study across the Global North and the South.

This thesis was designed as exploratory research with an abductive research strategy to understand how stakeholders interpreted the meanings of collaborative housing as an idea.

This was crucial given its new re-emerging features in modern societies. The abductive research strategy helped to refine theories based on new inquiries and observations of the similar land governance idea, common/public land, in England and China (Timmermans and Tavory, 2012; Dubois and Gadde, 2002; Meyer and Lunnay, 2013). Critical realism, as a meta-theory, offered several advantages to this study and allowed the discovery and analysis of the similarities and differences of generation conditions and mechanisms emphasised by the four case projects with different settings and factors (Bhaskar, 2010; Danermark et al., 2005; Sayer, 1992). Its ontology in the examination of alternatives to reality provided the research with a way to interpret multiple case studies in England and China and assisted me in building theories (ibid.). I also found critical causal-effect thinking useful in analysing new and emerging evidence on the role of the state in building links with citizens in two scoping studies of London CLT and Beijing CSH. These reflections highlighted the role of values as incentives in collaborative action on the grassroots level.

The multiple case study observations helped in the development of theories by exploring concepts and meanings behind social actors' (stakeholders in collaborative housing activities in this thesis) lived accounts and real experiences (Yin, 2017; Saunders et al., 2016; Singh, 2015; Schwandt, 1997). I conducted a critically empirical investigation into the relationships of collaborative housing to individuals, economic processes (including property rights) and societies. This was valuable to understand modern housing and related economic contexts behind human intentions (including social elites) by analysing macro-historical and institutional settings for policies (North, 2012; Williamson, 2000). It also enabled me to identify how supporters of collaborative housing find ideas and

make links with other advocates and enablers in each country. This transnational approach to research design and process promises to be a positive future research direction for charting and discovering housing changes worldwide.

Critical reflections on the method contribution: Collaborative housing as an idea occurred within histories, policies and practices with different forms in response to social demands (Lang et al., 2018; Mullins and Moore, 2018; Tummers, 2016). Each empirical project had a specific meaning, as well as a global interpretation. The real social meanings and competitive advantages of collaborative forms of housing governance depended on how they represented the changes in the improvement of wellbeing for participants. The micro-level analysis also advanced the knowledge of the ideas, challenges and problems of participants, especially users, when they interpret and apply these ideas and techniques, such as CLT. Because societies are continually evolving and getting reshaped by the complex and dynamic relationships in them (North, 2012; Archer, 1995); I needed to engage with both practitioners (including housing users) and experts to interpret my findings within the rapidly changing context.

My thesis therefore engaged with experts, including policymakers, scholars and participants (including housing users) I worked with these groups in the initial investigation and to reality-check my findings during my intense interaction with local actors in the four case studies. Meanwhile, what I learned from this cross-cultural and sectional study was to (1) effectively adjust and learn new theories to interpret the findings and discover new knowledge at the different stages of collaborative forms of housing governance and (2) to apply common sense and norms (such as advantages and

risks) to understand collaborative opportunities to provide affordable housing in societies. This provided crucial insights into the application of theory in a cross-cultural study and future research directions.

9.3.3 Contribution to theory:

The application of New Institutional Economics in explaining collaborative housing.

Recently, collaborative housing ideas have been refined through engagement with changing socio-economic and political-economic contexts in an international context (Mullins and Moore, 2018; Lang et al., 2018; Crabtree et al., 2013; Davis, 2010a; 2012; 2017; Wang and Wang, 2014; Wang, 2014; Wu, 2007; Ettyang, 2011). New waves of financialisation have stimulated fresh engagement between civil society groups and municipalities to protect housing from market uplift through sites and support, such as Barcelona's land leases for cooperatives (Housing Europe, 2019). Therefore, the institutional model of land governance was important to understand the shared rights in land for housing and development in modern societies. The explanatory framework of collaborative housing with five-pillar and sense-making analytical aspects advanced the knowledge in this field.

This multiple case study across the Global North and the South indicated that there were similar norms, approaches and principles of collaborative forms of housing governance even if these practices were organised in different regional and national contexts. Country housing systems, policy and finance provided different frames of reference to participants

for planning, provision and production. Meanwhile, the four case projects showed that collaborative housing organised in civil society, involved cultural entrepreneurship, embraced locality, complexity and flexibility. Fostering such governance culture and innovation required the effective stewardship of the common-pool development resources to reflect its core values made by supporters and respect their participatory purposes.

Critical reflections on the theory contribution: The concept of collective cultural entrepreneurship was developed by the author to understand the re-emerging collaborative housing under the neoliberal economic housing trend. It also improved the capabilities of local community collaborative housing groups in delivering affordable housing and related services (Brammer et al., 2012; Gronow, 2008). This thesis showed that in the community/family sector, a practical collaborative approach to affordable housing provision significantly depended on the viable and innovative financial futures of the projects. One reason was found that the project viability played a crucial role in affecting the participatory behaviours and even investment decisions of housing users, organisations on behalf of them, providers and builders, and wide partners. Another was related to housing, a capital-intensive industry.

Furthermore, across the four cases, supporters cared about achieving their common goals, but collaborative decision-making processes varied depending on purposes, positions and powers. A democratic discussion without criticism was important for participants and stakeholders from three aspects:

i. To enable them to make decisions together;
ii. To maintain information transparency about the projects;

iii. To form a mutual communication mechanism to reduce their misunderstandings. This was because of their diverse backgrounds and experiences. Participants could share their common sense about the issues that were caused by dynamic external contexts, such as from planning permissions, and together found the solutions.

9.3.4 Contribution to society:

Effective collaborative decision-making among multiple stakeholders.

Collaborative forms of housing are complex, involving processes from planning to governance and serving various participants' purposes. Before engaging in collaborative groups and organisations, individuals, organisations and sectors normally consider housing and related problems from their perspectives. Similar to other collaborative forms of social action, cost (including social costs such as time and energy caused by complex collaborative decision-making) was an important consideration for citizens and even organisations who took part, especially where their risks of doing so were not mitigated by state support or regulation (Olson, 2009; Ostrom, 2015). The realisation of collaborative forms of housing governance may remain on a small scale, especially due to the limited capabilities of civil society organisations, the long-term and professional housing development required, as well as alternatives that are evolving and are becoming available to societies (Mullins and Moore, 2018; North, 2012).

Here I consider the second emerging research gap addressed. Undertaking this study while continuing to observe international developments enabled me to assess which collaborative housing ideas, civic organisations could best plan and enact in practice. To

be specific, the principles of co-operation, co-production and collaborative governance helped to design efficient ways of using shared rights in land to provide housing and related products and services to improve wellbeing and sustainable development at local areas in Section 8.5. These three principles can be simply interpreted as three stages in developing collaborative housing as an alternative. Firstly, concerning the co-operation principle, it is crucial to consider up to the five types of stakeholders' opinions to generate the guidance of collaborative housing land regardless of the rationale of common/public land for housing and development (See Chapter 5). Co-production is the second stage for potential supporters to evaluate the value of collaborative housing. A critical analysis is necessary for this new sector to be able to provide affordable housing rather than the existing housing organisations. Meanwhile, this stage also defines the roles of local collaborative housing groups and the terms for participants (including housing users). The third stage, collaborative governance, is the decision-making procedure to specify the project implementation to meet different stakeholders' interests and goals. Section 6.4 contributed to several key practical findings of a collaborative housing property model (including eight selected common-pool development rights and associated project outcomes).

Critical reflections on society's contribution: As the place-based development ideas embrace the efficient uses of land and potentials for wide crowdsourced social resources for housing and related development, the multiple benefits of a collaborative housing plan are suggested to recruit citizens and activate their commitment. Otherwise, the inefficient uses of land and housing properties will continue and the potential to tackle neighbourhood disadvantage will be missed. Taking investments into account helps to

form an efficient and specific collective housing project organised in civil societies concerning the not-for-profit economic nature and stakeholder interests. It also helps to overcome local housing and related cultural barriers to the project. Ensuring that participating individuals, organisations and sectors meet their participatory purposes for their contributions is crucial.

From the provision perceptive, the early involvement of housing users is essential to design, use and govern the common-pool collaborative housing development rights with less external support for three main reasons (Foster, 2011; Ostrom, 1990). Firstly, personal resources of housing users (namely capabilities, knowledge, time and finance) could be invested in projects to acquire land and housing properties. This might include, alternative sources, such as empty buildings, factories, schools to meet housing users' purposes and their demands. Secondly, the participation of housing users in financial decision-making is beneficial for forming an effective financial structure of a project to optimise the outcomes. Such engagement can help to attract external support (such as from local government), manage the potential and ongoing financial issues, reduce costs and burdens and support development and construction of housing. Thirdly, the personal resources of housing users could also be matched with those of outside investors in establishing accountable collaboration regarding the viability of the projects. Fourthly, it provides opportunities for housing users to design personal housing and community products for existing markets and enable them to control their lives.

Furthermore, effective systems are required to preserve the collaborative housing goals in the case of housing speculation and its associated risks from relatively long-term

development progress in open and dynamic environments. These accounts must be cautiously considered based on the specific context, given the shared goal among voluntary collaborative supporters. The viability of collaborative housing, along with local links, contracts and policies, was also crucial to building trust among participants and forming their collaborative actions. The platform-based ideas, such enabling hubs, might provide the ways to address land and finance barriers and helped to scale up this sector in civil societies (Crane and Manville, 2008; Moore and McKee, 2014; Engelsman et al., 2018; Lavis and Duncan, 2017).

9.4 Thesis implications and future research

9.4.1 Thesis implications

Collaborative housing is blurring the traditional separation between housing provision and associated products and services due to wider social-economic and environmental expectations, especially in ageing societies (Lang et al., 2018; Moore, 2018; Fitzpatrick, 2018; Engelsman et al., 2018; Bunce, 2016; Field, 2015; Thompson, 2015; Moore and Mullins, 2013). Like the idea of 'Do it yourself' in home improvement and maintenance since 1912 (Tummers, 2015b; Gelber, 1997), these collaborative actions with local housing and related knowledge can deliver housing from scratch, transforming inefficient land and harnessing new financial structures using semi-finished materials to reduce project costs.

Moreover, collaborative housing brings more modular arrangements. The elements of housing, such as lifestyle, housing design, tenure, village pubs and shops and social care, can be recombined in new approaches and formats in society (Archer et al., 2019; Lang et al., 2018; Moore and McKee, 2014; Interreg North-West Europe, 2017; Liu et al., 2017; Engelsman et al., 2018; Davis, 2017; Elwood, 2006). Innovative techniques (such as crowdfunding, blockchain (a financial technique of a distributed, decentralized, public ledger), eco-building techniques, architectural features and information techniques) are also crucial to these housing and related advancements (Nasarre-Aznar, 2018; Lang et al., 2018). Collaborative housing, in turn, has boosted the progress of housing planning-governance bundles created through the collaboration of interdependent stakeholders within and across civil society (Mullins and Moore, 2018; Pesfffo, 2008b).

9.4.2 Future research

Given these changes above, I propose three main levels of future studies in relation to the governance and institutionalisation of collaborative housing.

The meso-level analysis. I would propose two future critical investigations. Firstly, it is to explore in which ways stakeholders from different sectors (state, market and civil society) interact, share ideas and build common understanding at the construction, consumption and governance phases found in most collaborative housing projects. Such a study could explore the concept of co-construction which originally meant the learning dynamic among students and teachers in the education sector, but is now a term used in

collaborative housing to develop models such as the Village Vertical and Group 4 Mars, in Lyon, France (Judson et al., 2015). This research would explore the role of culture, such as individual and organisational cultures at each stage of project and sector development.

Secondly, the collaborative experiences of BCLT and United Communities Housing Association in developing two community-led housing projects at Fishponds Road and Sheldon Road showed a new partnership model, which is defined as place-based co-ownership (Buffett and Eimicke, 2018). Meanwhile, active SYC community collaborative housing members (participated housing users) presented the ideas to facilitate and re-invest in the third project organised by Mr X. Therefore, it would be useful to explore how to create, maintain and govern long-term and sustainable relationships among multiple individual/organisational partners.

The macro-level analysis. Further research is required to understand the interaction between collaborative housing and the neoliberal economic governance trend. In this respect, I am interested in exploring the implications of work in transaction cost economics (Telser, 1981). In particular, I am interested in the emerging theme of forwards and futures contracts which may have certain powers in explaining exchange behaviours among future housing users, existing housing providers and intermediary organisations working on their behalf (enabling hubs such as Leeds Community Homes- see Figure 8.6). The strategic use of forwards and futures contracts could be an innovative way to

structure inter-actor collaboration to contribute to the social welfare of future residents (see for example Van Eijkel et al., 2016; Adilov, 2012).

The micro-level analysis. I would be interested in research that explored the extent to which collaborative housing models are providing real alternatives that meet the needs and aspirations of future residents. In this respect, I was interested in the dominance of modified homeownership forms in the Chinese cases and apparent resistance to these ideas from consumers preferring unfettered homeownership, despite this being outside the remit of collaborative models. The wider range of tenures found in English cases and the strong ideological support among some participants for forms of collective ownership that fetter future resale opportunities and prices is worthy of further research. This research would consider under what conditions people are willing to defer potential benefits of outright homeownership to deliver other goals such as affordability in perpetuity and community solidarity. Such research could have a practical application in building a mainstream market for collaborative housing.

These three-level future investigations express the benefits of exploring how collaborative housing re-structures and re-spaces the field and in which ways housing providers serve users, and update governance protocols. They are also advantageous for understanding the possibility of citizen collaboration in governing housing and related development to improve social wellbeing and sustainability. These future explorations would be useful to keep the policymaking of land, housing, services, spaces and places consistent with the evolving socio-demographic, economic, environmental conditions.

A final critical question might be asked about the justification for the further investigation of the small-scale collaborative housing activity with small impact on the society. One of the main compelling reasons is that if we begin with a big idea in this thesis such as how citizens collaborate to provide affordable housing, we could find more innovative strategies and alternatives to addressing ever-changing local housing issues and related demands. This idea of a collaborative form of housing governance has a long history in an international context. This indicates that this idea could work in any economic development context. This is one of the main aims and potential benefits of this research agenda - to contribute to effective collaborative housing plans and practices by critically analysing cases in different societies.

Appendices

Appendix 1: Ethical review approvals

(1) Ethical Review ERN_16-1495 (For the scoping study from October 2016 to March 2017)
(2) Ethical Review ERN_17-1257 (For the main multiple case study from October 2017 to October 2018)

Appendix 2: Investigations of experts' opinions

The investigations were conducted in Stage 2 of the abductive research strategy. The indicative results were provided in Appendix 7.

Appendix 2-1: Conceptualising Collaborative Housing Using Delphi Method-Questionnaire

UNIVERSITY OF BIRMINGHAM

1. Participant Information

Thank you for agreeing to participate in this Delphi survey on the conceptualisation of collaborative housing initiatives. The Delphi method is based on structured surveys to obtain forecasts (or decisions) from a panel of experts who having knowledge of the area. The survey will form part of the researcher Bingzi's PhD and will be used in associated publications with her supervisor, Professor David Mullins.

The survey will be divided into two rounds: one in mid-November 2016; the second early in 2017. In line with Delphi method you will have the opportunity to revise your answers in the second round survey.Most of the questions can be answered with only a single selection. Where appropriate, a space is also provided for you to comment on the underlying reasons for your responses. Furthermore, several open-ended questions ask for your deeper opinions about collaborative housing. If you run out of time you can save and finish later using the option at the foot of each page.

Once we have received responses from respondents, we will collate and summarise the findings, circulate these to participants and formulate the second questionnaire. You should receive this later in spring 2017. We assure you that your individual responses will be strictly confidential to the research team and will only be divulged to other panelists and in any outputs at an aggregate level.

Please contact us with any questions and return your responses by Date (Ethical Review Approved) If you find that you have questions about the questionnaire, please send an email to Bingzi He [redacted] We appreciate your willingness to participate in this initiative.

Sincerely yours,
Doctoral Researcher Bingzi He
Housing and Communities Research Group
School of Social Policy
University of Birmingham

2. Overview of the Survey

Background

Having a long history, collaborative housing has many definitions. The study seeks to conceptualise collaborative housing and how it operates in different societies and contexts, particularly focusing on affordable housing provision for local people in need.

Based on previous literature review and observations, the author takes a resource dependence approach and identifies, land, finance, actors, partnerships and ideas as five essential pillars of collaborative housing. These five pillars are considered to describe the establishment and development of collaborative housing and initiatives in terms of four aspects: actors, resources, relations, and rationales. This survey seeks to identify other factors that experts regard as important to the success of collaborative housing to build on and develop the five pillars framework.

Purpose of Survey

The survey aims to test views of experts: scholars and practitioners in the field to develop a conceptual approach to support research into the dynamic of collaborative housing. The survey will seek your views on the definition and dynamics of collaborative housing and then proceeds to test the importance and role of five selected elements in shaping the development of collaborative housing.

Research themes

In the survey, five themes were designed to achieve the survey aim.

1. The definition of collaborative housing
2. Current dynamics of collaborative housing
3. The importance of five potential elements of collaborative housing
4. The roles of five potential elements of collaborative housing
5. Final thoughts and evaluation of the survey

Notice: Please answer these five themes of survey questions (from Question 7 to the end) based on the context of collaborative housing you most familiar with which you state in the Question 6 of the Participation Information.

3. Participant background

1. Name:

2. Email:

3. What is your primary role (paid or voluntary) that involves you in collaborative housing?

- ☐ University researcher
- ☐ Other researcher
- ☐ Participant in collaborative housing
- ☐ Participant in collaborative housing
- ☐ Participant in a wider collaborative housing movement
- ☐ Other

4. Years of experience in this field:

5. Please give examples of **types of collaborative housing projects and their corresponding countries** that you are most involved in/familiar with (please use these types and countries as the base for your answers to all other survey questions).

6. Please write down the key words that describe how you think best explain the emergence of collaborative housing that you mentioned in the Question 5 and how best to conceptualise it.

4. Survey questions

Theme 1: The definition of collaborative housing

7. Below are the key word statements to describe the core principles of collaborative housing in terms of its participators. Please indicate on the scales the importance of each key word statement for the successful development of collaborative housing based on your research/practical experience (7=very important; 1=very unimportant).

	1	2	3	4	5	6	7	I don't know
Autonomous association								
Common aims (economic, social and cultural needs, and housing aspirations)								
Self-help								
Self-responsibility								
Caring for one another								
Mutual support								
Democracy								
Equality (right in the collaborative housing organisation and community)								
Equity (treatment in collaborative housing organisation and community)								
Solidarity								
Other (1)								
Other (2)								
Other (3)								

7.a **Others** (Please suggest up to three other elements and rank your suggested additional elements above using the same scale and write in comments below to explain why you feel these factors add to the elements above)

8. Below is a list of potential rationales of collaborative housing. Please indicate on the scales the importance of each rationale for collaborative housing based on your research/practical experience (7=very important; 1=very unimportant).

	1	2	3	4	5	6	7	I don't know
Filling a Gap in state housing provision (state failure)								
Filling a Gap in market housing provision (market failure)								
Keeping housing affordable in the longer term								
Living as a community								
Environment-friendly approach to live								

Social cohesion								
Keeping housing development gains (value uplift) within the community								
Community involvement in Housing design								
Community infrastructure management								
Other (1)								
Other (2)								
Other (3)								

8a **Others** (Please suggest up to three other elements and rank your suggested additional elements above using the same scale and write in comments below to explain why you feel these factors add to the elements above)

Theme 2: Current dynamics of collaborative housing

Below are some statements to describe the dynamics of collaborative housing. Please indicate on the scales the extent of your agreement/disagreement based on your research/practical experiences on collaborative housing initiatives.

Please rate each of the indicators and select a position on each scale, where 7= strongly agreement; 1=strongly disagreement.

9.

	1	**2**	**3**	**4**	**5**	**6**	**7**	**I don't know**
Not all collaborative housing initiatives are bottom-up.								
Employment is a key factor for people choosing to live in local collaborative housing.								
Residents living in collaborative housing are very satisfied with their current lives and communities.								
Collaborative housing organisations are well run because of self-management.								
A majority of collaborative housing organisations have achieved their objectives.								
The price of collaborative housing links with the income of local residents.								
State support in securing access to land through planning and land release is essential for collaborative housing to grow.								

Buying land on the market is a feasible way for collaborative housing schemes to develop.								
Buying land on the market makes it difficult to target collaborative housing schemes on lower income groups.								
Money from the government is the main start-up capital of collaborative housing and organisations.								
Loans from banks are hard to secure before property is built.								
A large proportion of secured money has been used to buy land.								
Partnerships with other sectors are very important for the development of collaborative housing.								
There is a strong trust-based relationship among board members of collaborative housing on the scheme level.								
There is a strong sense of commitment to organisational values among residents living in collaborative housing communities.								
Contracts play a key role in linking different organisations for collaborative housing schemes to develop.								

9.a **Other key themes and associated dynamics** (Please suggest other themes that you feel are important in understanding the current dynamics of collaborative housing).

Theme 3: The importance of potential elements of collaborative housing

In this section we are interested in your perception of the importance of five selected elements in the development of collaborative housing.

Please rate each of the indicators and select a position on each scale, where 7=strongly agreement; 1=strongly disagreement.

10. The importance of the elements

	1	**2**	**3**	**4**	**5**	**6**	**7**	**I don't know**
Land								
Finance								
Actors (individuals, community, state and market actors)								
Partnerships								
Ideas (such as community stewardship)								
Other (1)								
Other (2)								
Other (3)								

10.a **Others** (Please suggest up to three other elements and rank your suggested additional elements above using the same scale and write in comments below to explain why you feel these factors add to the elements above).

Theme 4: The roles of five potential elements of collaborative housing

Below are five lists of some dimensions of each of the five selected elements of collaborative housing (from Question 10). For each list please rate each of these dimensions in terms of importance to the success of collaborative housing; first in the current and second future (next five years) contexts, where 7 = very important; 1 = very unimportant or redundant.

11. Land

	The importance in the current context								**The importance in the next five years**							
	1	2	3	4	5	6	7	I don't know	1	2	3	4	5	6	7	I don't know
National/City land ownership for release to housing schemes																
Land availability on the market																
Land use planning to encourage land release for affordable homes																
Land management to control individual uses for common good (ground lease)																
Land bank dedicated for collaborative housing																
Other (1)																
Other (2)																
Other (3)																

11.a **Others** (Please suggest up to three other elements related to land and rank your suggested additional elements above using the same scale and write in comments to explain why you feel these factors add to the elements above)

12. Finance

	The importance in the current context								**The importance in the next five years**							
	1	2	3	4	5	6	7	I don't know	1	2	3	4	5	6	7	I don't know
Dedicated lenders for collaborative housing (social finance)																
Understanding by traditional bank lenders																
Community Share/Bond Issues for collaborative housing																
Crowd sourcing finance for collaborative housing																
Cross subsidy to enable low- income groups to participate in mixed-income communities																
Start up finance for period before scheme generates rental or sales income																
Pooled rent and purchase income to sustain scheme in longer term																
Other (1)																
Other (2)																
Other (3)																

12.a **Others** (Please suggest up to three other elements related to land and rank your suggested additional elements above using the same scale and write in comments to explain why you feel these factors add to the elements above)

12.b Actors

	The importance in the current context								**The importance in the next five years**							
	1	2	3	4	5	6	7	I don't know	1	2	3	4	5	6	7	I don't know
Local community associations (such as tenant/resident associations)																
Communites of interest																
Architects used to working with collaborative housing clients																
'Social/community organisers' helping collaborative groups to form and perform																
Central government (national policy)																
Local authorities																
Commercial companies (such as real estate development companies and social investment corporates)																
Banks																
Social enterprises (such as charitable banks, foundations, and non-for-profit building groups)																
Non-Profit housing associations as partners/promoters																
Landowners (favourable access to land for collaborative housing)																
Campaign organisations																
Citizens																
Other (1)																
Other (2)																
Other (3)																

12.c **Others** (Please suggest up to three other elements related to land and rank your suggested additional elements above using the same scale and write in comments to explain why you feel these factors add to the elements above)

13. Partnerships

	The importance in the current context								**The importance in the next five years**							
	1	2	3	4	5	6	7	I don't know	1	2	3	4	5	6	7	I don't know
Partnership between the members of the same CLH organisation /scheme																
Partnership between collaborative housing organisation and wide community residents																
Partnership between collaborative housing organisations																
Partnership between the collaborative housing organisation and its umbrella organisation																
Partnership between the collaborative housing organisation and local government																
Partnership between the collaborative housing organisation and external																
commercial organisations																
Partnership between the collaborative housing organisation and external non-profit social organisations																
Other (1)																
Other (2)																
Other (3)																

13.a **Others** (Please suggest up to three other elements related to land and rank your suggested additional elements above using the same scale and write in comments to explain why you feel these factors add to the elements above)

14. Ideas

	The importance in the current context								**The importance in the next five years**							
	1	2	3	4	5	6	7	I don't know	1	2	3	4	5	6	7	I don't know
Community land ownership																
Ground lease																
Asset lock																
Community housing ownership																
Community financial ownership																
Membership																
Mutualism																
Stewardship																
Benefit share for community development																
Opposition to market capitalism																
Opposition to the State/ Government																
Other (1)																
Other (2)																
Other (3)																

14.a **Others** (Please suggest up to three other elements related to land and rank your suggested additional elements above using the same scale and write in comments to explain why you feel these factors add to the elements above)

15. **Other key themes and associated variables** (Please write in suggestions for other key themes and variables that your regard as important to the success of collaborative housing but have not been included in question 15 above. And please explain why you feel these additions are important separate dimension to concpetualising collaborative housing)

Theme 5. Final Thoughts and Evaluation of the survey

16. Has this survey helped us to conceptualise collaborative housing?

☐ A lot
☐ A little
☐ None

16.a If you selected None, please explain why:

17. How much emphasis would you place on our five selected elements (land, finance, actors, ideas/values and partnerships) to conceptualise collaborative housing?

☐ A lot
☐ A little
☐ None

17.a If you selected None, please explain why:

18. Which important features of collaborative housing are missed by focusing on the five elements we have selected?

19. Final comments and suggestions for the second questionnaire round and the research.

Thank you for completing this survey.

Appendix 2-2: Semi-structured interview schedule of Chinese Cooperative Security Housing

UNIVERSITY OF BIRMINGHAM

SEMI-STRUCTURED INTERVIEW SCHEDULE

Chinese Cooperative Security Housing- Interviewing Chinese Scholars

Date:

Preamble:

My name is Bingzi He. I am a PhD student studying at School of Social Policy of the University of Birmingham in Birmingham, United Kingdom and was an underground student studying at the School of Political Science and Public Administration of China University of Political Science and Law in Beijing, China.

I am interested in the collaborative approach towards affordable housing provision for urban local people in need. So I am trying to explore in which ways four piloting Cooperative Security Housing in Beijing, China [Show card A] in terms of land resource, financial resource, different actors, partnership and practical ideas and values. As you have taught or researched in the Public Administration, Social Welfare or Government Reform and Governance in the top universities in Beijing, China, I am interested in your opinions about cooperative principles, Chinese Cooperative Security Housing and housing welfare and policy in the current Chinese context.

Participant information

To begin with, I was wondering if you could tell me something about yourself?

Name	
Name of organisation	
Position in the organisation	
Main teaching/research areas	
Years of teaching/researching in these areas	

Questions

Section 1: Cooperative principles and collaborative housing in China

1. What do you think about the collaborative housing in China?
2. What do you think about the definition of collaborative housing in the Chinese context based on your research/ practical experiences?
3. What do you think about cooperative principles of collaborative housing in the Chinese context?

Section 2: Opinions about Cooperative Security Housing

4. What do you think about current Cooperative Security Housing programme organised by the Beijing Government for addressing affordable housing issues of local people in need?
5. What are reasons that Beijing government launches it?
6. What do you think about the CSH mechanism in which Beijing government provides free land for building, the residents pay the cost, commercial building companies build houses, and social enterprise (Beijing City Housing construction investment centre) manages the community?
7. Do you think current Cooperative Security Housing is a collaborative housing model among the state, the market and individuals or a state-dominated social housing? Please explain it.
8. What do you think about the autonomy and democracy of CSH community?
9. What do you think about the home ownership of CSH?
10. What do you think about the motivations of different stakeholders participating? in The CSH projects?
11. What you think about the roles of five elements presented in the following show card A in the development of Chinese CSH in terms of its importance and functions?
12. Which element in the show card A you think play the most essential role in the development of Chinese CSH? One of five elements mentioned above or other? If other, please give the explanation.
13. What you think about the relationships between the state, the market and individuals underlying this innovate social housing project?
14. What are potential social outcomes that CSH could achieve?
15. Have you had any expectations from this innovative affordable housing plan?
16. Have you had any worries about the CSH strategy?

Land	The access to land resources, the use of land and the management of land in the community
Finance	The access to start-up funding, money for building houses
Actors	Participants, housing users and wide citizens
Partnership	Partner with the local government, social enterprises, commercial companies, and collaboration between residents
Ideas	Free land provided by the local government, and Ground lease for 99 years
Others	

Show card A: Five elements of collaborative housing

Section 3: Housing, welfare and policy

17. What do you think about current housing welfare in China?
18. Have you had any ideas about the reasons for the extremely high price of market housing in urban areas in China?
19. Do you think collaborative housing and CSH could be alternatives to affordable housing provision to local people in need in China?
20. What are enablers for developing collaborative housing in China and Why?
21. What are barriers for developing collaborative housing in China and Why?
22. Do you have any suggestions about the sustainable development of CSH projects?
23. Do you have any other plans for addressing housing issues of low and middle-income people?
24. Is there anything more you would like to add?

Thank you very much!

Appendix 3: Example of semi-structured interview topic guide

UNIVERSITY OF BIRMINGHAM

SEMI-STRUCTURED INTERVIEW SCHEDULE

England urban Community Land Trusts- Interviewing board members

(for the multiple case studies) (Source: The author)

Date:

Preamble:

My name is Bingzi He, and I am a PhD student studying at School of Social Policy of the University of Birmingham. I am interested in the collaborative approach towards affordable housing provision for urban local people in need. So I am trying to explore in which ways urban Community Land Trusts exist in England in terms of land resource, financial resource, different actors, partnership and practical ideas and values. As you have participated in urban CLTs in England, I am interested in your experience and opinions, as well as what has motivated you to be involved.

Participant information

To begin with, I was wondering if you could tell me something about yourself?

Name	
Name of organisation	
Position in the organisation	
Years of joining in the organisation	
The project of urban CLTs you engaged in	
Time of joining in the urban Community Land Trust's activity	
The main responsibilities in the Chinese Cooperative Security Housing project	

- Questions

Section1: Motivations and experiences

1. What has motivated you to participate in this urban CLT in England?

2. What has impressed you most when you participate in the urban CLT?
3. What are the enablers you experienced when you engaged in the urban CLTs?
4. What are the barriers you experienced when you engaged in the urban CLTs?
4. How did you obtain land and financial resources for developing this CLT organisation and building houses?
5. Do you think is it difficult for you to secure resources, such as land and finance?
6. Who or which organisation help you most in developing CLT project? And by what approaches?
7. How does this urban CLTs affect your life?
8. How do you feel being as a board member to manage the organisation? Are there any differences with your previous life? And are there any conflicts?
9. What were your expectations from this involvement?
10. What things are beyond your expectations?

Section 2: Opinions about (urban) Community Land Trusts

11. What do you think about urban CLTs?
12. What do you think about housing ownership under the CLTs mechanism?
13. What do you think about the role of the state, the market and individuals in urban CLTs?
14. What do you think about the relationships between the local authority, Housing Associations, commercial building company, and CLTs' residents with the CLT?
15. What you think about the roles of five elements presented in the following show card A in the development of urban CLTs in terms of their importance and functions?
16. Which element in the show card A you think play the most essential role in the development of urban CLTs? One of five elements mentioned above or other? If other, please give the explanation
17. What are your expectations from the outside members? (One pound paid can allow the public to be the member.)
18. What are your expectations from the residents and commercial building companies and other social enterprises?
19. How do you think about the cooperative principles underlying the urban CLTs module?

20. Have you any ideas or suggestions for promoting the sustainable development of urban CLTs in the future?

Land	The access to land resources, the use of land and the management of land in the community
Finance	The access to start-up funding, money for building houses
Actors	Participants, housing users and wide citizens
Partnership	Partner with the local government, Housing Associations and
Ideas	Community land ownership and community stewardship
Others	

Show Card A: Five elements of collaborative housing

Section 3: Housing, welfare and policy

21. What do you think about current housing welfare and system based on your experiences?

22. Do you think CLTs could be alternative to affordable housing provision to local people in people in England?

23. Is there anything more you would like to add?

24.

Thank you very much!

Appendix 4: Example of participant information sheet

Here I provided an indicative information sheet. This was an English translation from the original.

UNIVERSITY OF BIRMINGHAM

The five pillars of collaborative housing-exploring enactment in Chinese Cooperative Security Housing

INFORMATION SHEET

Introduction

Bingzi He is conducting a study to explore the how **land resources, financial resources, different actors, partnership and practical ideas** shape the development of **collaborative housing and initiatives** in practice. The project is also concerned with the changing relationships between the state, the market and individuals involved in delivering collaborative housing projects (and how these differ in the England and China).

The project builds on Bingzi He's PhD dissertation at the School of Social Policy of the University of Birmingham., Chinese Cooperative Security Housing is an important initiative examined in this research.

Interviews will be carried out to identify the motivations, experiences and opinions of different stakeholders concerning Chinese Cooperative Security Housing. The results will help the researcher understand the existing ways of collaborative housing in England and think about effective alternatives to dominant market and social housing models to provide affordable housing provision to people in need in society.

What will happen today if I take part in the study?

Participants are asked to take part in semi-structured interviews lasting around 30-60 minutes based on their knowledge of Chinese Cooperative Security Housing and initiatives.

The researcher will inquire about your opinions, feelings, experiences about Chinese Cooperative Security Housing. The interview questions will be designed to be relevant to your personal experiences. During the interview, the researcher might take notes during the discussion; a recording will also be made by using a digital voice recorder.

What risks can I expect from being in the study?

The information you provide about your experiences and opinions will be recorded, but no personal identification information such as names will be used in any reports arising out of this research. All information gathered will be confidential. The researcher will ensure that all personal information will be kept private.

No quotes or other results arising from your participation in this study will be included in any reports, even anonymously, without your agreement.

All paper records of the interviews and other documents will be stored in a lockable filing cabinet inside the researcher's home. And original and copies of the processed electronic files (such as interviews recording files) will be kept on an encrypted file with a password, which will be stored on the BEAR DataShare provided by the University of Birmingham. Moreover, a back-up encrypted file with the same password will be saved in the USB which will be stored at the researcher's home. Only the researcher knows the password.

Are there benefits to taking part in the study?

There will be no direct benefit to you from participating in this study, except sharing the results.

However, the information that you provide will help the researcher understand Chinese Cooperative Security Housing in the current context, explore the roles of land resources, financial resources, actors, partnerships and practical ideas in the development of collaborative housing, and discover the changing relationships between the state, the market and individuals participated in the Chinese Cooperative Security Housing.

The researcher will seek to use the findings to help policy-makers in both counties know how best to provide affordable housing for people in need.

Can I choose not take part in the study?

You are free to choose not to participate in the study.

What are the costs of taking part in the study? Will I be paid for taking part in this study?

There are no costs to you for taking part in the study. You will not be paid for taking part in the study.

What are my rights if I take part in the study?

Taking part in the study is your choice. You may choose either to take part or not to take part in the study. If you decide to take part in the interview, you may change your mind at any time. You can decide to stop participating in the interview at any time. For example, just tell the researcher right away if you wish to stop the interview. Moreover, you also can withdraw your answers within a three-week period from the date of your participation in the interview if you want to do that. No matter what decision you take, there will be no penalty to you in any way.

How long will the study last?

The interview will last about 30-60 minutes.

Who can answer my questions about the study?

You can talk to the researcher and her supervisor, Professor David Mullins, at the School of Social Policy of the University of Birmingham about any questions or concerns you have about investigations tools and the research project.

Moreover, if you have any questions, comments or concerns about taking part in the study, first talk to the researcher Bingzi He. If for any reason you do not wish to do this, or you still have concerns about doing so, you may contact her supervisors.

Email addresses:

-Researcher: Bingzi He [redacted]

-Supervisor Professor: David Mullins d.w.mullins@bham.ac.uk

Giving consent to participate in the study.

You may keep this information sheet if you wish. Participation in the study is voluntary. You have the right to decline to participate in the study and to withdraw your consent within a three-week period from the date of your participation in the interview without penalty.

If you do not agree to quotes or other results arising from your participation in the study being included, even anonymously, in any reports about the study, please tell the researcher now.

Appendix 5: Example of participant consent form

UNIVERSITY OF BIRMINGHAM

CONSENT FORM

Study Title: Five factors (land resource, financial resource, different actors, partnership and practical ideas) shaping collaborative housing in Chinese Cooperative Security Housing and English Community Land Trusts

The Researcher: Bingzi He

- The study has been explained to me in a language that I comprehend. All the questions I had about the study have been answered. I understand what will happen during the interview or survey that I participated in and what is expected of me.
- I have been informed that it is my right to refuse to take part in the interview or survey that I participated in today and that if I choose to refuse I do not have to give a reason, and that it will not prejudice the care that I can expect to receive now, or in the future.
- If I consent to take part in the study, I can change my mind: I can withdraw from participating.
- If I take part in the study, I can choose to not answer some questions.
- I have been informed that I can withdraw all my information within a three-week period from the date of participation in the study if I want to withdraw my consent.
- I have been informed that anything I say during the interview/survey investigation today will remain completely confidential: my name will not be used nor any other information that could be used to identify me.
- It has been explained that sometimes the researcher finds it helpful to use my own words when writing up the findings of this research. I understand that any use of my words would be completely anonymous (without my name). I have been told that I can decide whether I permit my words to be used in this way.

Circle response:

I agree to take part in the study:	Yes	No
I agree that my own words may be used anonymously in the thesis:	Yes	No

Signature of participant:

NAME	SIGNATURE OR THUMB PRINT	DATE OF SIGNATURE

Appendix 6: The integrative review of the modern collaborative forms of housing

I learned from Souza et al.'s (2010) five stages to organise an integrative review of the modern collaborative forms of housing in the thesis (Appendix 6-1). Four newly issued international reviews of the literature, and empirical contexts are used to expand the research themes to combine the features of integrative and meta-analysis.

The integrative review method	The literature review strategy in the thesis
1. Preparing the guiding question	• Reflecting the initial investigations and my critical reflexive practices
2. Searching or sampling the literature	• Based on four newly issued reviews • Wide range of articles in English and Chinese according to the keywords and personal long-term observations
3. Data collection	
4. Critical analysis of the studies included	• Understanding and evaluating the research methods, elements and results etc,
5. Discussion of results	• Synthesising the results and identifying the research gaps that this thesis fills in, and priorities for future research

Appendix 6-1: The literature review strategy in the thesis (Source: Souza et al.2010)

Step 1: Four themes are organised to understand the four levels that collaborative housing engages in ideas, histories, policies and practices: (1) development and research dynamics, (2) collaborative housing and welfare, (3) values for policies: principles and competitive advantages, and (4) implementation: stakeholders, resources and governance. These four themes respond to the causal links found in the initial study as highlighted in Section 1.5.3 of the thesis. In line with my critical reflexive practice, during the study, I continually compared the agreements and disagreements between the existing academic literature in the field, the practical materials provided by sectors (such as case studies, reports, documents) and my personal observations. One of the critical reflections was about the elements of knowledge in this field because much published important research seems to run parallel with my study period. So this thesis constantly learned from their studies, but more importantly evaluated the degrees in relevance, tensions, and contradictions underpinned by our theoretical and analytical basis especially when I began the Stage 4 investigation with research themes and framework since June 2017. Their studies are parts of knowledge foundations and parts of secondary data for understanding the nature of the

re-emerging collaborative housing towards the analytical and explanatory frameworks regarding its institutional change in an intentional context in Section 8. They are helpful to understand the evaluation of the institutionalising tendency.

Steps 2-3: The local languages and interpretations by scholars and practitioners are also one of the challenges to categorise the specific enactment of collaborative housing to define it: what factors work, for whom, through which collaborative approaches and under what circumstances. In this thesis, I mainly depended on English language sources to systematically review the literature in this field, which were essentially the physical journal articles and books found at the e-libarary of the University of Birmingham: (https://intranet.birmingham.ac.uk/as/libraryservices/library/index.aspx), Google Scholar (https://scholar.google.com/) and British Library EthO[3] (https://ethos.bl.uk/Home.do). For Chinese academic work, I mainly used two main academic databases: Wangfang Data (http://www.wanfangdata.com.cn/index.html) and CNKI (https://www.cnki.net/). The former is acknowledged by the University College London (https://blogs.ucl.ac.uk/library-ejournal/2012/10/18/wanfang-data-chinese-databases/). Physical books and journal papers in Chinese were collected during the PhD study period based on the scholars' recommendations and personalised search.

[3]It is an e-thesis provided by the British Library.

Appendix 7: Example of results in the scoping study

Appendix 7-1: Main summary of the scoping study (Source: The author)

Main summary of the scoping study		
Themes	Elements	Critical arguments and events
1.Common aims	Economic, social and cultural conditions, and housing aspirations	LCLT: (East) LCLT was established by Citizens UK which was mounted an affordable housing campaign after 2004. Citizens UK used the links between affordable housing, local employment opportunities and local companies to organise campaigns and then lobbied for support from former London mayor Ken Livingstone and his successor, Boris Johnson in 2008; initially aiming for access to site linked to the Olympic Games Village in East London. This political support eventually gave rise to the LCLT project on an empty hospital site at St Clements, also in East London.
		BCSH: The Beijing government failed to meet the citizens' housing aspirations and related welfare, which caused the government and citizens in affordable housing need failed to achieve the common aim underlying the BCSH project. One interviewee said: '*no inheritance right of the property, no life'*.
		The survey: 'Common aims (economic, social and cultural needs and housing aspirations)' was the only answer that was marked as 'very important' by over 50% of respondents among the questions under two themes of the investigation[4], 'The core principle of collaborative housing in terms of participants' and 'The other is the potential rationales of CH'.
	Value	The Chinese experts' interviews: Like-minded people can develop CH, which was especially for bottom-up CH. When the housing price decreased or there were more 'suitable' housing for citizens in the market or the public, it had been argued that few citizens wanted to do it because of the complexity in the field of housing, such as access to land, finance and construction techniques.

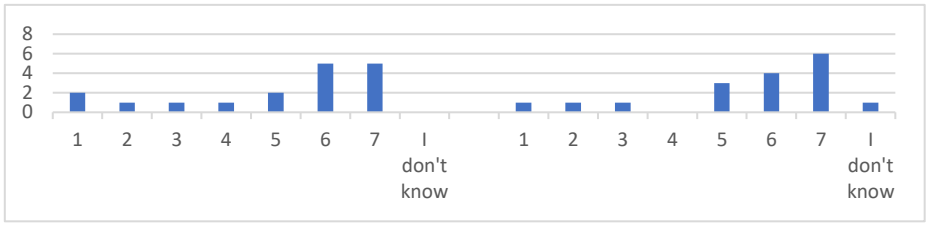
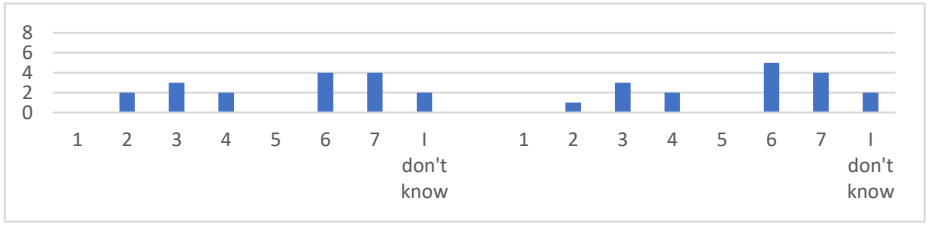
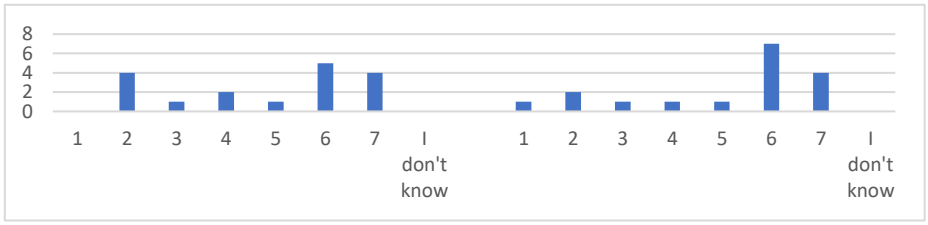
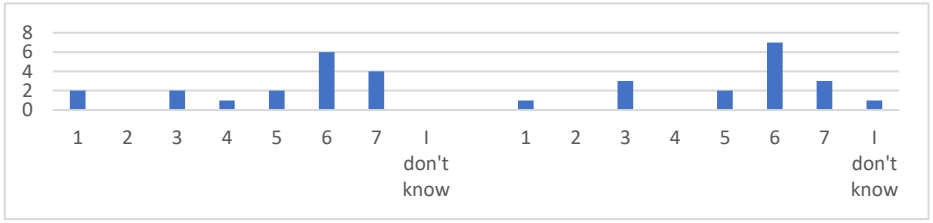
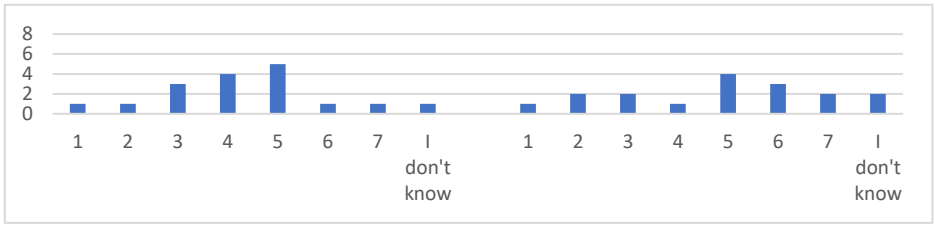
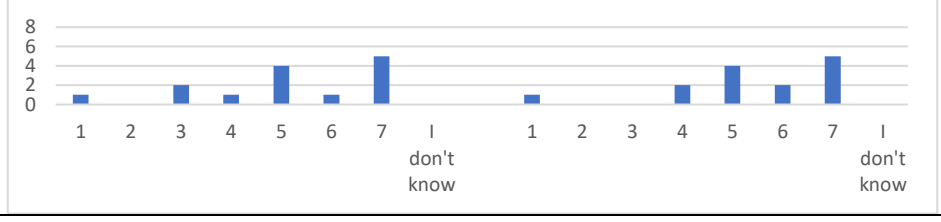
[4] In the Survey, there were five themes, including
(1) Definitions of collaborative housing (including testing principles and potential rationales of collaborative housing);
(2) Current dynamics of collaborative housing;
(3) The importance of five potential elements of collaborative housing;
(4) The roles of five potential elements of collaborative housing;
(5) Final thoughts and evaluation of the survey.

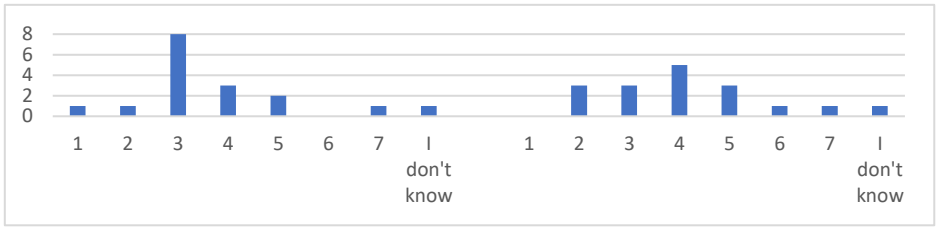
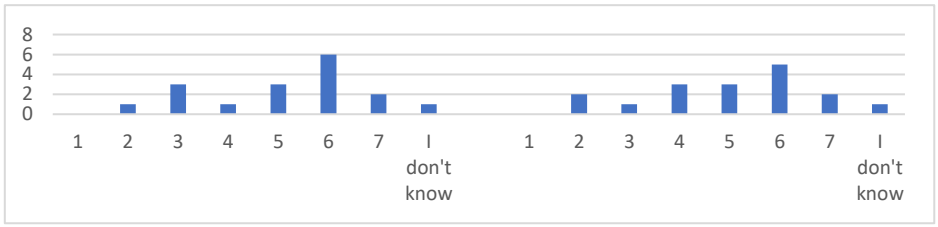
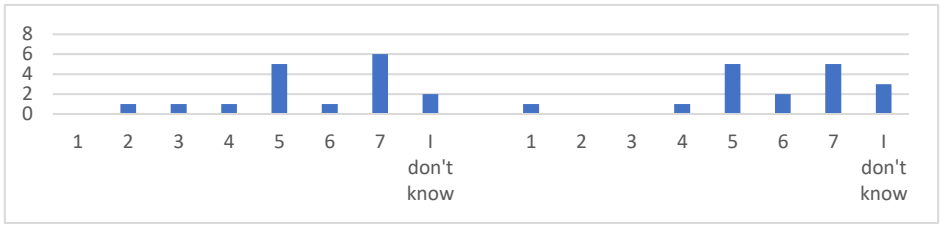
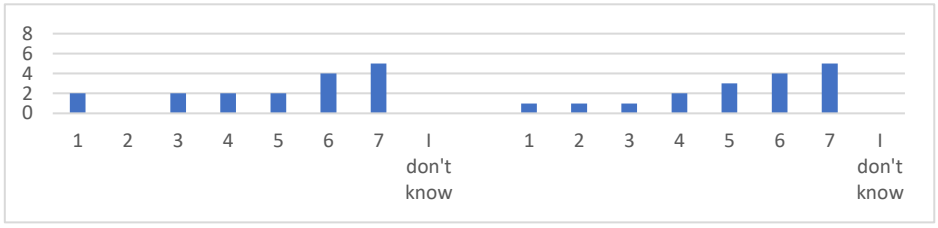
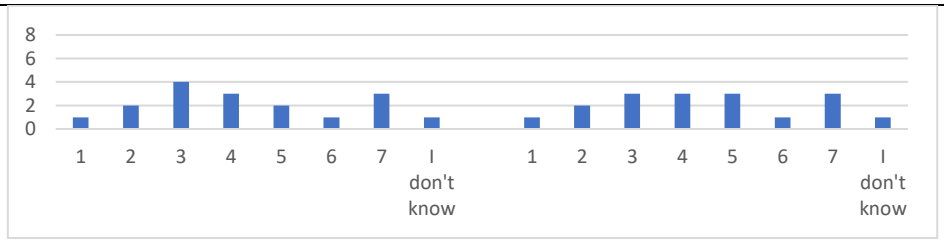
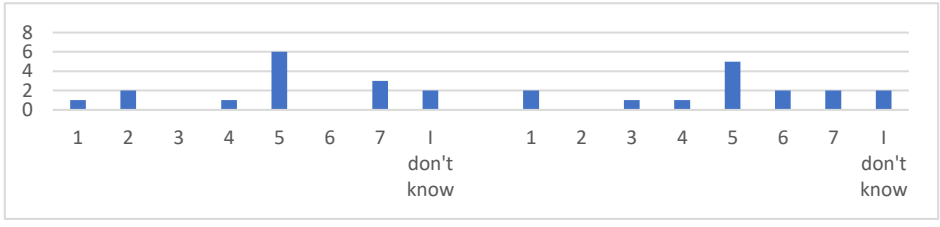
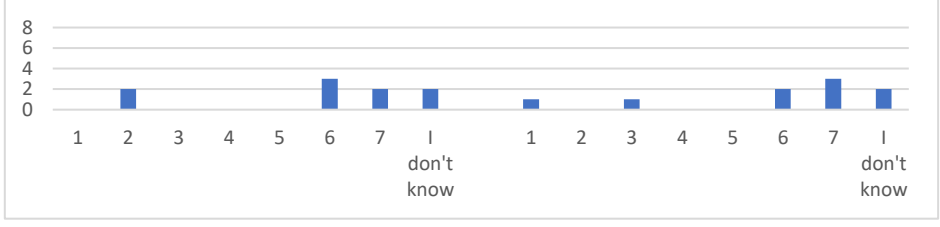
2.Resources	Geography	The interview from the selected participant in the survey: The majority of CLTs exist in rural areas in England.
		The Chinese experts' interviews: The situation of collaborative housing is more common in rural areas in China because of the rural collective land and village autonomy system.
	Land, finance and actors	LCLT and BCSH: Both cases significantly highlighted the importance of means of production, particularly land, finance and actors, in the development of collaborative housing in practice. For example, interviews from the LCLT showed that it was difficult to find the land in a city due to the high market price in England. As one interviewee said: '*so in the case of Lewisham, we got the gifted land because it was declared surplus to their requirements. So in some cases, we might just buy the land for a pound. In the case with St Clements, we were part of their affordable housing intermediate provision, so we didn't need to buy the land, it was developed and then we would buy the finished new links of the development*'.
		The survey of investigating western experts' opinions: land, finance and actors (individuals, community, state and market actors) were considered as 'very important' factor by over half of respondents ('very important' is the highest-ranking score in the survey). Over 50% of respondents believed that 'State support in securing access to land through planning and land release is essential for collaborative housing to grow.' (one answer of the descriptions of current dynamics of CH)
		The Chinese experts' interviews: Almost all interviewees presented a common view that it was impossible in urban areas due to many reasons, such as the high price of large land plots (state-owned land ownership), the strict quality of a real estate company, the right of association and co-operation between residents. For the cases of individual collaborative housing initiatives in China, one interviewee particularly mentioned that '*although it happened several successful cases, they were by accident*'.
3.Strategies	Partnerships	LCLT: LCLT partnered with the real estate company, Linden Homes, and the housing association, Peabody, to deliver the affordable housing through the S106 policy.
		BCSH: It refers to the partnership between the state and citizens in designing the affordable housing policy. Given the unfavourable attitude of people in housing need, resources for developing BCSH were used to build traditional policy-oriented housing, which was explained in details in Section 2.3.2.

		The survey of investigating western experts' opinions: Although answers in the Partnerships theme presented its importance, it was less important than those of three resources, land, finance and actors. Over 50% of respondents strongly agreed that 'Not all collaborative housing initiatives are bottom-up.' (one answer of the descriptions of current dynamics of CH)
		The Chinese experts' interviews: Various partnering strategies and institutional arrangements were used for access to resources for developing CH.
4.Principles	Ideas (such as common/collective ground and democracy)	LCLT: The development of the LCLT linked with the democratic political system in which the local vote played an important role. The idea of common ground was supported by the collaborative housing practitioners in responding to the affordable housing provision in London.
		BCSH: The piloted BCSH housing model was argued as an expression of democracy between the state and citizens given the state-owned land ownership and affordable housing provision in China. Citizenships ended this policy.
		The survey of investigating western experts' opinions: Although answers in the Ideas theme presented the importance of selected concepts, such as common ground and stewardship, the responding rate in this theme was lower than that of others.
		The Chinese experts' interviews: Rural collective land ownership and self-governance played important roles in village self-built and self-help housing.

Appendix 7-2: Results of the importance of Actors in Theme 4 of the survey in 2017 (Source: The author)

(For each list please rate each of these dimensions in terms of importance to the success of collaborative housing; first in the current and second future (next five years) contexts, on the horizontal axis where 7 = very important; 1 = very unimportant or redundant; on the vertical axis refers to numbers of responses)

Summary of selected survey results		
	The importance in the current context	The importance in the next five years
Local community associations (such as tenant/resident associations)		
Communites of interest		
Architects used to working withcollaborative housingclients		
'Social/community organisers' helping collaborative groups to form and perform		
Central government (national policy)		
Local authorities		

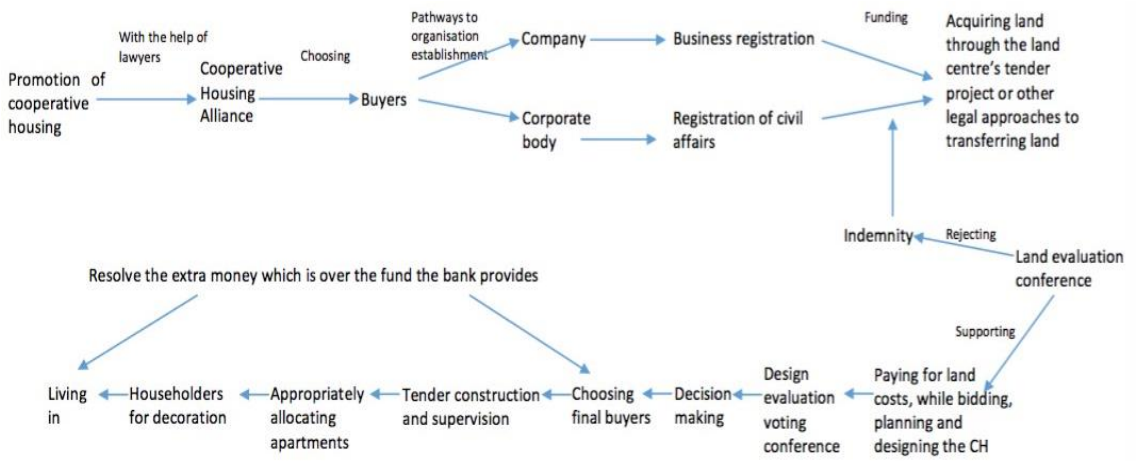
Commercial companies (such as real estate development companies and social investment corporates)	
Banks	
Social enterprises (such as charitable banks, foundations, and non-for- profit building groups)	
Non-Profit housing associations as partners/promoters	
Landowners (favourable access to land for CH)	
Campaign organisations	
Citizens	

Appendix 7-3: Example of UK experts' background, involvement and opinions about the re-emergence of collaborative housing in the survey of Appendix 2-1.

Identities of CH participants and time involved in CH (Years)	Which types of CH projects	Key words explaining the emergence of the CH projects and conceptualising it/them
University researcher (7)	Self-help housing in England	Opportunity Capacity Support Resources....Iperties, finance and people Motivation. Economics and politics
Participant (3)	Community Land Trust, cooperatives and cohousing (all UK)	Retreat of the welfare state, social disconnection
Other researcher (45 years for collaborative housing, in which 16 years of the director of a cooperative housing services agency; Now, research into collaborative housing options for older people.)	Previously involved in developing and supporting fully mutual housing cooperatives and tenant management cooperatives. Now involved in researching a wide range of options from senior cohousing through to neighbourhood based housing networks. All of this work has been in the UK but influenced by Northern European models.	The central principle behind all collaborative housing is democratic control. Such housing can take many forms but whatever form it takes the residents of the housing (and in some cases the local community) must be involved in developing/designing/owning/managing the housing in some way - i– might involve all of these or only one or two. It is also essential that legal form of the housing embodies these forms of control so that control can only be rel366elinquished the residents themselves.
University researcher (5.5)	Cohousing in UK, and some in Netherlands, US, Germany and France	Desire for alternative homes futures Sharing economies Austerity climate Housing crisis Ageing needs
University researcher (9)	Community land trusts in England and the rest of the UK. Some knowledge of community land trusts in the United States.	Generalising, I think the emergence of CLTs can largely be traced to the housing affordability crisis, rather than the ideals of collaboration, cooperativism etc. This is an important aspect of the model, but I think that any definition or conceptualisation of CLTs needs to look primarily at the model's 'pproach to housing affordability and land values, rather than exclusively at the more collaborative/collective aspects. Another way of putting this would be to look at the 'pr'duct' -'i–e. the housing and its affordability restrictions – rather than the 'pr'cess'; '.e. the collective approach to housing delivery. This is not to dismiss the latter - i– is an important aspect of the model and undoubtedly of high value to those involved. But I think CLTs represent a pragmatic approach to issues of housing affordability, rather than a representation of ideologies around community living (compared to something like cohousing, for instance).
Participant in a wider CH movement (30)	Self-help Housing UK	Local community action to address unmet housing need

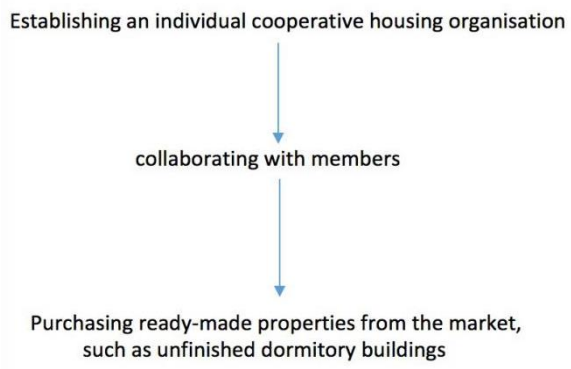
Appendix 8: Three models of grassroots-led housing in China

Appendix 8-1: Self-organized land purchase model (Source: The author)



Appendix 8-2: Partnering with a real estate company to buy land (Source: The author)

Appendix 8-3: Self-organized properties purchase (Source: The author)



Appendix 9: Example of observations related to collaborative housing (additional to case studies)

England		
Organisation Name	Activity	Date
National CLT Network	Attend 2016 National CLT Network Conference	28-Jan-16
London CLT	Visited London CLT and interviewed key stakeholders	04-Oct-16
Transition by Design	Attend the seminar organised by House of The Commons 2016 where themes included affordable housing, community-led housing and housing issues	22-Oct-16
London Assembly Housing Committee	Attend the seminar of 'Community-led housing in London'	04-Jul-17
Leeds Community Homes	Visit Leeds Community Housing programme and Citu factory	08-Nov-17
Broadhempston CLT	Visited Broadhempston CLT Open Day	04-Nov-17
Birmingham City Council	Birmingham Community-led Housing meeting	11-Oct-17
Saffron Lane Neighbourhood Council	Visit Leicester Passive Housing	11-Nov-17
West Kensington & Gibbs Green Community Homes London	Visited West Kensington & Gibbs Green Community Homes London and interviewed key stakeholders	13-Oct-17
Stretham and Wilburton CLT	Stretham and Wilburton CLT is Cambridgeshire's pioneering CLT. Atteded the 'See It and Believe It' event series which showcases community-led housing projects across the country.	28-Feb-18
Granby 4 Streets CLT	Visit Granby 4 Streets CLT housing and community	29-May-18
Hereford CLT	Visit Hereford CLT mobilization meeting- the launch of the 'Building Momentum' project.	13-Jun-18
London Assembly Housing Committee	Attended the seminar of 'Question and Answer Session with Housing Associations'	04-Oct-18
East Midlands Community-led housing umbrella organisation,	Visited the project manager of East Midlands Community-led housing umbrella organisation,	19-Jun-2018
Housing and Communities Research Group, University of Birmingham	Attended the 'Hope for Housing Conference', Birmingham	7-July-2018
Interreg North-West Europe, a European Union Territorial Co-operation Project	Attended the 'Sustainable Housing for Inclusive and Cohesive Cities (SHICC) project' in London	15- May- 2019

Appendix 10: List of Chinese interviewees in the scoping study

Organisation	Code	Position	Interview date	Interview time	Interview approach	Note
Beijing Municipal Government	SC1	Director who is in charge of Shijingshan District government work	28-Feb- 17	00:04:32	Phone	
Renmin University of China	SC2	Professor of Land Management specialising in macroeconomic policy and real estate economy; real estate tax, real estate finance; land finance and public finance	02-Mar-17	00:15:14	Face to face	
Peking University	SC3	A PhD with the Doctoral; degree in Politics of Peking University had been an exchanged student studying at the School of Harvard University last two years.	05-Mar-17		Face to face	There were interviews notes, but no records
China University of Political Science and Law	SC4	Professor of School of Politics and Public Administration, specialising in social welfare	06-Mar-17		Face to face	There were interview notes, but no recording
China University of Political Science and Law	SC5	Professor of School of Politics and Public Administration, specialising in policy analysis, public affairs management and social reforms	08-Mar-17		Face to face	There were interviews notes, but no records
China University of Political Science and Law	SC6	Professor, School of Politics and Public Administration, specialising in social welfare and reform	09-Mar-17		Face to face	There were interviews notes, but no records
Chinese Development Research Centre of the State Council	C1	Representative from the Integrated Research Office who is specialising in the housing sector	06-Mar-17	00:28:33	Phone	
Wulituo Street Housing security office (street-level)	SC7	Director who managed and supervised Shijingshan Wulituo sreet housing and community (including Nangong areas). The officer was mainly responsible for the implementation of the housing policy with recording.	14-Mar-17	00:17:23	Face to face	
Renmin University of China	SC8	Professor of Land Management specialising in land policy and system, real estate management. housing policy and land and urbanization	15-Mar-17	0:53:12	Face to face	
Shijingshan District Housing security office (District-level)	SC9	Officer from who participated in designing the policy of four piloted Chinese Cooperative Security Housing projects with recording.	16-Mar-17	01:34:55	Face to face	There were interviews notes, but no records
China Construction News agency which is founded	SC10	Secretary of the Discipline Inspection Commission of who was in charge of Beijing housing affairs	17-Mar-17	00:26:43	Phone	I met and communicated with the informant on 5 March but

in January 1987 and managed by the Ministry of Housing and Urban-Rural Development of the People's Republic of China.		before 2010 and wrote the important academic paper about cooperative housing in China				due to the informant's busy schedules, I had a phone interview.
Chinese Academy of Social Sciences	SC11	Professor of Chinese Academy of Social Sciences Institute, Social development strategy researcher and director of development strategy and policy research, specialising in including social organization and social management, social welfare and social policy	03-Mar-17	01:49:55	Face to face	
Beijing Municipal Commission of Housing and Urban	SC12	Officer			I met the informant, had a short conversation and obtained 'Beijing Real Estate Yearbook' (from 2008 to 2016).	

Appendix 11: English cases long list of rural CLTs

Here I provided an indicated list of the rural English CLTs below. All data were collected based on their own and umbral organisations' webpages, such as National CLT Network (http://www.communitylandtrusts.org.uk/). The urban CLTs were seen the report of '*The urban CLT project evaluation'* (Moore et al., 2018). Available at: https://www4.shu.ac.uk/research/cresr/sites/shu.ac.uk/files/the-urban-clt-project-evaluation.pdf, (Accessed: 19 November 2019).

Rural English CLTs (Source: The author)						
Organisation	Land	Finance	Actors or Stakeholders	Partnerships	Ideas (Housing plan in addressing housing shortage before the establishment of the organisation	Collaborative housing (being built
Bishops Castle and District CLT	The land was purchased from a local architect for £16,000 and the homes are now occupied by local families.	The CLT has made use of a variety of grants, local fundraising and commercial finance to develop its first scheme	A group of local volunteers	As in their first project, they will be using local supply for the construction	in high demand as a residential area	Bishops Castle and District CLT completed 2 affordable homes in June 2011
Buckland Newton CPT	These were considered by the planners at the District Council and resulted in two options being brought before a well attended open village meeting in February 2007. The result was the piece of land, now occupied by Lydden Meadow, being voted as the favoured option.	The Trust then negotiated a development loan from the District Council for the estimated build costs plus land purchase, along with a grant from the Tudor Trust of £40,000 for implementing such an innovative build method.	The support of West Dorset District Council was instrumental in ensuring the scheme was implemented. The council has also provided a long term loan for the rental homes. A grant of £550,000 was provided by HCA.	the Trust set out on serious negotiations with the appointed builder CG Fry and Son.	Early in 2003, a steering group of villagers recognised the need for affordable homes as the available properties for rent or purchase exceeded the incomes of rural families.	An initial farmhouse-style development of 10 homes has recently been completed.
Christow CLT	Teignbridge DC provided the land for £1 to CCLT	HCA grant is supporting the 14 rented homes	Action was needed, and was taken quickly by Teign Housing. Keen to try a new approach called a community land trust and with dreams of developing a pioneering PassivHaus project, Teign got in touch with the local Parish Council to arrange a village meeting.	WCA has evolved to become an organisation supporting communities to establish Community Land Trusts (CLTs through the Wessex CLT Project	People knew there was a housing problem. In fact, it was the relentless campaigning from local resident Briony that spurred a Housing Needs Survey to take place.The survey, as predicted, found that there was a serious need for additional housing in the village.	On the edge of Dartmoor National Park, an area of outstanding natural beauty, 18 new PassivHaus homes have been developed, 14 of which are let out at genuinely affordable rent.

High Bickington CPT	Devonshire County Council transferred land for £1 to High Bickington CPT	Devonshire County Council transferred land for £1 to High Bickington CPT, enabling access to capital and start-up funding. Upon completion, High Bickington CPT will repay Devonshire CC £750,000 from homeownership sales and fees.	Project 2000, the forerunner of the CPT, completed a detailed parish appraisal in 2001 to identify the needs of the parish. These included affordable workspace and homes, a new primary school and integral community facilities. In 2002-3, a parish plan was drawn up, consulted upon and published. The parish council adopted the plan in 2004 and asked the CPT to be its agent for implementing the plan.	HA Partnering-NO	The scheme is situated within the Parish of High Bickington in the County of Devon, situated 9 miles from Barnstaple. The scheme was used to kick-start the villages' regeneration after the foot and mouth epidemic.	Devon county council (DCC entered into an agreement with the High Bickington Community Property Trust (HBCPT to redevelop one third of a smallholding by providing 39 new homes and other facilities.
Holsworthy CPT	HCPT operate by taking land out of the market, thus removing the impact of land price appreciation.In 2007 the trust acquired five flats above the 'Original Factory Shop' in the town centre.	The trust was fortunate to be granted financial support from Devon county council/TDC from the Second Homes Council Tax budget.To purchase and develop its properties, the trust has secured development finance loans from Charity Bank and the CLT Fund. These loans are repaid upon the sale of the homes or when a loan term mortgage is raised for rental homes.	The trust then found the original families needed larger homes	Cross subsidy Yes – via developer/builder	Holsworthy is a small market town in rural Torridge in North Devon. Like the rest of south west England, the average price of homes is well above the national average, whilst at the same time household income is comparatively low. A community consultation reinforced the need for affordable homes and the findings were published in 2004 in the Holsworthy Market & Coastal Towns Initiative Community Strategic Plan.	The trust has recently completed a development of 2 homes in the village of Sheepwash, pictured above. The houses (one for rent and one for shared equity have been allocated to local people. A further 4 homes for shared equity disposal are currently under construction in the village of Bridgerule.
Holy Island of Lindisfarne CDT	Their third scheme consisted of 4 three bedroom, semi-detached houses on land purchased in 2006 when HILCDT bought part of a back garden of a large island home.	HILCDT was the first CLT scheme to receive an investment from the Homes and Communities Agencies National Affordable Housing Programme.The trust was successful, in co-operation with 4HG, in being awarded a grant from the Homes & Communities Agency (HCA for the sum of £212,000, roughly a third of their development cost.additionally funding was provided by the Tudor Trust and a loan from Triodos Bank.	The Holy Island of Lindisfarne Community Development Trust (HILCDT was formed fourteen years ago to build affordable homes for island residents being priced out of a rising housing market on the island.	HA Partnering Yes	Like many rural areas, The Holy Island of Lindisfarne off the coast of Northumberland, has and still is being, beset by affordability issues due to tourism and being a popular area for second homes.	Their third scheme consisted of 4 three bedroom, semi-detached houses on land purchased in 2006 when HILCDT bought part of a back garden of a large island home.

Homes for Wells CLT	The purchase in 2013 of the Victorian building which was Wells' first school and is previously known as The Field Study Centre is a fantastic achievement for Homes for Wells. Our last Housing Needs Survey was undertaken in 2011 and proved invaluable in shaping our Board's decision to acquire and redevelop the Old School (formerly the Wells Field Study Centre and SCIRA Headquarters	North Norfolk District Council's Big Society Enabling Fund granted £150,000 to HfW	A Homes for Wells Keyworker is a person in an occupation or working in a voluntary capacity who provides an essential service to the community of Wells, Warham, Wighton, Holkham and Stiffkey, who due to low wages needs help to find housing.	Through a determinatio n to succeed and a commitment to the local community, residents were able to successfully transform the lives of workers in Wells that would have otherwise been forced to relocate.	self-help	Our last Housing Needs Survey was undertaken in 2011 and proved invaluable in shaping our Board's decision to acquire and redevelop the Old School (formerly the Wells Field Study Centre and SCIRA Headquarters into 11 residential units, all of which have been fully occupied since completion in 2015.Currently HfW has 17 properties accommodating 39 people
Lyvennet CLT	LCT was able to purchase the site in 2010	Initial seed funding came from the parish council and the Tudor Trust (£1k and £2.5k respectively which enabled company formation, website and business plan development. Eden district council then provided a £30,000 loan.	Cumbria Rural Housing Trust (CRHT,CRHT's project officer acted as the catalyst for the group, providing initial support and advice on the CLT approach	HA Partnering Yes – Eden Housing Association	The LCT was formed following a housing needs survey carried out by Cumbria Rural Housing Trust (CRHT in 2008. This highlighted a need for 23 homes in the parish of Crosby Ravensworth.	The project currently on site will provide 20 homes. 12 affordable homes are being built (10 rented and 2 shared ownership and a further 8 properties are included in the scheme as serviced plots specifically for self builders, as some local households expressed a desire to contribute to the design and construction of their homes.
St Minver CLT	They were inspired by a local builder and were able to acquire land from a local farmer on the edge of the existing development boundary.	The CLT formation group had the benefit of a £5,000 set up grant from NCDC and were advised by the then newly formed umbrella body, Cornwall Community Land Trust (CCLT. Detailed cost estimates were produced for the project appraisal and when agreed, a planning application was made, funded by the landowner. Once planning permission was granted, NCDC agreed to advance an interest free loan of £544,000 to pay for the road bond at £94,000, the land, fees and to generally facilitate the development, including the appointment of a project site manager.	A local group, including members of the parish council, formed a CLT to facilitate the provision of affordable self build homes and in their first scheme completed 12 homes for local people at under a third of open market value.	HA Partnering Yes	High levels of housing need were not being met by the existing delivery mechanisms and a group of concerned local people, including members of the parish council, wanted to take direct action to provide truly affordable homes for local families in employment which would supplement the work of housing associations and the local authority	Rock, in the parish of St Minver Lowlands in North Cornwall is reputedly one of the most expensive places in the world to purchase a home due to high levels of second home ownership and holiday lets.

Swaffham Prior Community Land Trust (SPCLT	A partnership was formed between local landowners	A group of determined residents came together the same year to tackle these housing concerns by setting up their very own CLT with funding from a CLT set-up grant from East Cambridgeshire District Council.The CLT was awarded a government grant of 20,000 pounds to investigate the possibility of taking the village off oil.	A group of determined residents came together the same year to tackle these housing concerns by setting up their very own CLT	With the help of CLT East, SPCLT became a legally incorporated CLT in 2013 and the 6 Trustees started making plans for their scheme almost immediately A partnership was formed between local landowners, Hundred Houses Housing Association, and private developers Iceni Homes. At the foundation of this partnership was the mutual appreciation for the input of the local community.	Housing pressures from the city of Cambridge had reduced levels of affordable housing and threatened to break down core community ties, so the people of Swaffham Bulbeck decided it was time to take matters into their own hands.	The 8 affordable houses comprise: 2 x 2-bed bungalows 4 x 2-bed houses 2 x 3-bed houses
Worth CPT	By partnering with East Dorset Antiquarian Society, the Trust brought in over 5000 hours of volunteer dig time to bring the archaeology bill for the development site down from £200,000 to £25,000.	Worth CPT partnered with local Housing Association, Synergy Housing Group, giving the Trust access to the expertise it needed to complete the build and meet Homes and Communities Agency (HCA funding requirements.	local residents	Worth CPT partnered with local Housing Association, Synergy Housing Group, giving the Trust access to the expertise it needed to complete the build and meet Homes and Communitie s Agency (HCA funding requirements .	A strong sense of rural decline and the high house prices in the village pushed residents to form a CLT in 2005, to promote an alternative sustainable future for the parish. They have provided 5 new affordable rental homes in the parish, inspired other local community projects and enterprises, and delivered an award-winning archaeology project on site.	The Trust has provided 5 homes for affordable rent, which were completed on 23rd March 2012.
Broadhempston CLT	Bought the land from a land owners, which was known by the researcher's personal visiting. The plot of land obtained by Broadhempston CLT is considered a Rural Exception site.	Broadhempston CLT initially obtained pre-development funding from CAF Venturesome's CLT fund. This provided Bradhempston CLT with enough funds to submit a detailed planning application and employ the relevant professional involved in this process e.g Architect, Ecologist, Engineer etc..Once Broadhempston CLT had obtained full planing they approached Resonance and applied for their Affordable Homes Rental Fund. In October 2014 a loan was granted from Resonance which enabled the construction of the 6 affordable eco-homes to begin.	local residents	Self-build	Broadhempston Community Land Trust is a Community Interest Company that was set up in 2012 to enable local people, in housing need, to develop affordable ecohousing.	In the summer of 2014 Broadhempston CLT obtained planning permission from Teignbridge Council to develop 6 affordable, self-build, eco-houses.

Youlgrave CLT	Not sure	t has also successfully applied for funding for the housing from the government's Homes and Communities Agency.	local residents	In the summer of 2013 YCLT, in partnership with Peak District Rural Housing Association, successfully applied for planning permission to build eight affordable homes in Conksbury Lane.	After public meetings on village priorities which started in 2009, YCLT has taken forward the number one priority idenitified - the need for more affordable housing.	Building has now been completed on Youlgrave Community Land Trust's affordable housing site at Conksbury Lane. The scheme provides six houses and two bungalows for people who have a local connection with the area.
Cornwall CLT	not sure	The project was hosted by CRHA and supported by grant funding principally from the Tudor Trust and Cornwall county council. A revolving loan between CCLT & Cornwall council for the sum of £1m has been agreed and drawn upon to finance on site construction. CCLT has also benefited from surpluses on completed properties.	Not really sure. But it seems a top-down project either organesed by local authority or Housing associations.	An example of the second method is Percy's Meadow, Blisland. This is a joint development between CCLT and CRHA to provide seven homes to rent and six to sell by CCLT.	CCLT was established in March 2007 to provide an umbrella organisation for the development of local CLTs and to provide good quality homes for local people in housing need in Cornwall and the Isles of Scilly.	As at June 2011, CCLT has in total 12 projects under development which when completed will provide 100 homes, 65 of which will be for itself and 35 for local CLTs.
Keswick Community Housing Trust	Banks Court is the second of Keswick Community Housing Trust's developments. Formerly a toilet block, the building is situated in a central location just off Station Street. It has been recently renovated to provide four small apartments suitable for occupancy by single people.	Not sure	KCHT was formed as a consequence of concerned and motivated individuals in Churches Together in Keswick carrying out the 'Exploring Our Community' consultations early in 2009 about improving the future for all the townspeople of Keswick.	There is a small sub group dealing with the Share Issue, consisting of Rev Jennet McLeod, Wendy Bewley, Jo Brand and Bob Bryden, advised by Andy Lloyd and Sarah Lines of Anthony Collins Solicitors.	That housing in Keswick is unaffordable for the vast majority of local people is incontrovertible.	Two are situated on the ground floor and two are first floor flats.
Pinchbeck CLT	Pinchbeck CLT bought their site from Pinchbeck Parish Council.	The scheme has been funded by a combination of Homes & Communities Agency Community-Led grant, private borrowing by the Housing Association and the Parish Council accepting a reduced land value.	It was Maurice who first had the idea around ten years ago to build affordable homes in the village for rent – and as a Pinchbeck parish councillor he worked tirelessly for many years to achieve it.Once upon a time in a small village in Lincolnshire… In April 2012, there was an initial public meeting to raise the proposal to form a CLT.	formed a new partnership with a local Registered Provider and developer	The financial crisis of 2008 proved a setback, but in May 2012 Pinchbeck Community Land Trust (CLT was formed and took on the task of providing the homes	It shown that they had moved in in the news on 11 March 2015; they expect to start on site by January 2014.-There will be 14x 2- and 3-bed houses built, along with an informal allotment area for the residents.

Wilsford CLT	Wilsford CLT bought their site from Lincolnshire County Council for exception site value and in the process acquired the freehold of the Village Hall at nil cost from the County Council.	The scheme has been funded by a combination of Homes & Communities Agency Community-Led grant, a grant from North Kesteven District Council and private borrowing by the Housing Association.	A well-attended public meeting was held early in 2012 with detailed presentations from the Parish Council, Lincolnshire Community Land Trust and the then Community Land Trust Network. This led to the unanimous decision to form a Community Land Trust Steering Group, consisting of members of the public, and representatives from the Parish Council and the Village Hall Committee. The Steering Group then set about the formation of a CLT for Wilsford and engaging with Housing Associations and Developers to bring forward a housing scheme.	Together with the help and support of Lincolnshire CLT a partnership between the Wilsford CLT, Lincolnshire Rural Housing Association and Westleigh Developments was established.	In 2009 supported by Wilsford Parish Council, North Kesteven District Council (NKDC carried out a 'housing needs survey' in the village. This survey identified a need for 6 affordable properties	Plans showing the final layout of the 10 new homes for rent and the location of the existing Village Hall which was transferred from the ownership of the County Council to Wilsford CLT.The homes were completed and ready for occupation in March 2015
Stockfield Community Association Trading Arm (SCATA	all of the £100,000 land purchase money would be re-invested in sports facilities in the village.	SCATA was supported by the County Council and the Homes and Communities Agency with ring fenced funding for community-led housing developments within its Affordable Homes programme.	With six Directors – all local residents – and a mix of skills and experience, SCATA then began looking for funding and opportunities for a first project.	Lacking the experience to go it alone on their first project, SCATA turned to Isos, one of the North East's largest associations and proposed a community-led partnership.	The roots of Stocksfield Community Association's Trading Arm (SCATA go back to 2009 when the local Parish Plan made the case for creating a not-for-profit body that could do things for the village that could not be done by the Parish Council, and to do them in a way that recycled any surplus for direct community benefit.	Stocksfield Community Association Trading Arm (SCATA in Northumberland was established in 2012 and have recently completing the build of 7 affordable homes for rent to local people
Stretham & Wilburton CLT	Negociations with landowners, Manor Farm site securied for development- Visited by the researcher	Using a grant from Design Council Cabe, it appointed the Community Spirit Partnership in October 2012 to run a range of activities.	We can have up to 12 Trustees – nominated by Stretham Parish Council, Wilburton Parish Council and the community at large – all of whom are voted into the role.	Laragh Homes was appointed by the Community Land Trust as development partner for the site	Like so many local villages, Stretham and Wilburton face some big future challenges, especially about access to the affordable homes and shared amenities that are vital to a lively, sustainable community.	Have completed 12 houses- Visited by the researcher. and planning permission was granted in 2014 for a threephase development of 75 new homes. It includes 23 affordable rented homes, 52 for market sale and land that has been reserved for a new doctors' surgery, workplaces and a new village green. Work began on site in 2015.
Witherslack Community Land	These houses have been self-built on land leased from The Witherslack Community Land Trust WCLT and donated by a local landowner.	Not sure	Local Residents via Witherslack Community Land Trust	self-built	An innovative scheme has been developed in Witherslack in the Lake District National Park to address the local rural housing shortage.	The Witherslack Community Land Trust (W.C.L.T. with Eco Arc Architects has built 2No affordable certified passive houses for local families in housing need.

Appendix 12: Example of Chinese urban case list

Here I provided the profiles of the Chinese urban collaborative housing cases below. The rural examples were seen the paper written by Wang and Wang in 2014.

The summary of urban individual collaborative housing in China (Source: The author)					
Initiator-background	Region	Organisational establishment time	Time for bidding for the land/building or finance	Organsiational name	The number of organizational members
Yu, Linggang - IT engineer	Beijing	2003	April, 2005	Beijing co-operation Blue City Advisory Services Limited	More than 600
Meng, Xiansheng - Beijing Renhe Law Firm	Beijing	December, 2006	December, 2007	The "Retirement Community" Program for the Elderly based on the principle of Cooperative Housing	
Lin, Liren - the founder of 99 plus one company, five-star volunteer	Shenzhen-Guangdong	December, 2006	December, 2006	Shenzhen individual cooperative housing organization	More than 900 (Success)
Wei Kun - General Manager of Guangzhou Zhongjian Real Estate Consulting Co., Ltd	Guangzhou-Guangdong	September, 2005	September, 2005	Guangzhou Public Building Real Estate Consulting Co	Registered members had reached 5072
Cui, Jianqun - work in e-commerce	Kunming-Yunan	March, 2005	March, 2005	Yunnan Renlian Real Estate Development Company	More than 500
Wang Yixiang - former professor of psychology at Yunnan Normal University	Kunming-Yunan	2005	2007		
Mr Lin	Zhuhai, Shenzhen, Guangzhou	November, 2006	November, 2006	Zhuhai individual cooperative housing organization	More than 500
Wu, Zhuo - China Telecom's an S P manager in Liaoning region	Shenyang-Dongbei	Auguest, 2007	Auguest, 2007	Shenyang individual cooperative housing organizations - Shenyang hezong real estate Consulting Co., Ltd	More than 300
MS lIU	Qingdao-Shandong	2006	2006	Qingdao Cooperative Housing Union	More than 500
Liu, Gexue	Tianjin	June, 2007	June, 2007	Tianjin individual cooperative housing organization - Tianjin Chenghexin Investment and Management Company	More than 600
Zhu, Jian - Shanghai Investment Consulting Co., Ltd. Chairman round home	Shanghai	2005	2005	Shanghai Yuanjia Investment Consulting Co	Members accumulated 5,000 people

Qian, Shenghui - head of cooperative housing, chairman of Shanghai Jianzhu Real Estate Co., Ltd	Shanghai	2006	2009	Shanghai Hezhu Real estate company	30 (Success)
	Shanghai	2013	2009	Shanghai Hezhu Real estate company	More than 20 (Success)
Wang, Yongyu	Hangzhou-Zhejiang	2007	2007	Cooperative housing alliance	300
Shao, Jiao	Nanjing-Jiangsu	2005	2005	Nanjing individual construction (self-help) housing organization - "I love Nanjing individual construction housing network"	Around 300
Mr Cha	Nanjing-Jiangsu	2007	2007	Nanjing Individual construction (self-help) housing groups	Around 300
Yu, Wei	Suzhou-zhengjiang	2006	2006	Suzhou Zhongjian Real Estate Consulting Co., Ltd	5
Li, Yanzhou	Zhengzhou-Henan	January, 2007	January, 2007	Zhengzhou preparatory group of individual cooperative housing	More than 200
Li, Zhihai - President of Xinpa Investment Fund Management (Beijing) Co., Ltd	Zhengzhou-Henan	October, 2007	October, 2007	Zhengzhou individual cooperative housing alliance - Zhengzhou Zhongji Real Estate Company	Around 2000
Yang, Jincheng - Teacher	Xuchang-Henan	2005	2007	Xuchang Huimin real estate intermediary Services Limited	More than 400 (Success)
Zhao, Zhiqiang - Secretary-General of Wenzhou Marketing Association	Wenzhou-Zhenjiang	2006	2006	Wenzhou individual cooperative housing alliance	Around 600 (Success)
Li, Qiuzhao - Chongqing Lianzhong Real Estate Development Co., Ltd.	Chongqing-Sichuang	2006	September, 2006	Lianzhong building model - Chongqing Lianzhong Real Estate Development Co., Ltd	
Lian, Jusheng - general manager of Far East Investment Management Co., Ltd., Wuhan individual cooperative housing club president	Wuhan	the end of 2004	May, 2005	ICAN self-built / group purchase (housing) club	
Dan, Shuangcheng - Counsel of theChengdu constellation real estate marketing planning Corporate	Chnegdu-Sichuan	2005	2007	Chengdu individual cooperative housing project Organizing Committee (also known as "Datong home")	
Tang, Wenxuan - Sichuan Vision Garden Architecture Design Institute	Chnegdu-Sichuan	April, 2005	April, 2005	Chengdu cooperative housing- sunshine home project Limited (also known as "Sunshine home")	

Appendix 13: List of interviewees of multiple case studies

Appendix 13-1: List of English interviewees

England							
Organisation	Code	Position	CLT project	Interview date	Interview approach	Interview time (hours: minutes: seconds)	Note
Ecomotive	B1	[redacted] Ecomotive and the Ashley Vale Action Group	Bristol CLT	28-Jul-18	Phone	01:02:38	Due to Summer holiday and busy schedules of the informant.
Bristol CLT	B2		Bristol CLT	24-Jul-18	Face to face (Participated in the BCLT Board meeting)	02:22:33	
Bristol CLT	B3	BCLT [redacted]	Bristol CLT	24-Jul-18	Face to face	01:44:40	
Bristol CLT	B4	BCLT [redacted]	Bristol CLT	13-Jul-18	Face to face	02:36:50	
United Communities	B5	[redacted] Officer	Bristol CLT	07-Aug-18	Phone	0:48:35	I met and talked with the informant in July twice. Due to the informant's busy schedules, I did the interview via phone.
Bristol City Council	B6	Cabinet Member [redacted]	Bristol CLT	25-July-18	Phone	0:43:51	I met the informant at a London conference on 15 May 2019.
Bristol CLT	B7	BCLT [redacted] resident	Bristol CLT	20-Jul-18	Face to face	01:38:53	
Resonance	B8	A member [redacted]	Bristol CLT	26-Jul-18	Phone	00:37:20	
BCLT and United Communities	B9	Board member of BCLT [redacted]	Bristol CLT	08-Aug-18	Face to face	00:38:54	I met and talked with the informant in July twice. Due to the informant's busy schedules, I did the interview via phone.
Ecomotive	B10	[redacted] Ecomotive and Ashley Vale Action Group	Bristol CLT	27-Aug-18	Phone	01:02:30	Due to the informant's busy schedules, I did the interview via phone.
Norton Sub Hamdon CLT	WN1	[redacted] Parish Council	Norton Sub Hamdon CLT	14-Aug-18	Phone	00:42:04	
Norton Sub Hamdon CLT	WN2	Norton Sub Hamdon CLT resident		20-Sep-18	Phone	00:16:41	Due to the informant's busy schedules, I did the interview via phone.
Norton Sub Hamdon CLT	WN3		Norton Sub Hamdon CLT	23-May-18	Face to face (Visiting the project with the Chair)	02:20:25	
Norton Sub Hamdon CLT; Wessex	WN4	[redacted] Norton Sub Hamdon; Board member of	Norton Sub Hamdon CLT	23-May-18	Face to face	01:07:51	

Community Asset		Wessex Community Asset					
Norton Shop	WN5	Volunteer		15-Aug-18	Phone	00:36:17	
Norton Sub Hamdon CLT	WN6	[redacted] NCLT housing user		26-Jul-18	Phone	0:28:28	I met and talked with the informant in July twice. in May. Due to the informant's busy schedules, I did the interview via phone.
Yarlington Housing Assocation	WN7	[redacted] Yarlington Housing Assocaition	Norton Sub Hamdon CLT	17-Oct-2018			
West Dorset District Council	WS1	[redacted] leader	Including Symene CLT	11-Sep-18	Face to face	0:55:14	
Symene CLT	WS2	Symene CLT Resident		12-Sep-18	Face to face	00:27:19	
Symene CLT	WS3		Symene CLT	22-May-18	Face to face (A group meeting with the chair, landowner who was also a board member and a key board member)	02:43:45	
Symene CLT	WS4	[redacted]	Symene CLT	12-Sep-18	Face to face interview	00:17:29	The chair took the researcher to visit the housing project and village, in which the communications in May and September were not recorded, but worded in the notes of the field trips.
Symene CLT	WS5	[redacted]	Symene CLT	20-Nov-18	Self-completed interview		
Symene CLT	WS6	[redacted] board member	Symene CLT	14-Oct-18	Self-completed interview		
Wessex Community Assets and Wessex Community Land Trust	WC1	Board member of Wessex Community Assets [redacted]	Norton Sub Hamdon CLT and Symene CLT	27-Sep-18	Phone	00:57:41	Due to the informant's busy schedules, I did the interview via phone.
Wessex Community Assets and Wessex Community Land Trust	WC2	Associate of Wessex Community Assets [redacted]	Norton Sub Hamdon CLT and Symene CLT	25-Jul-18	Phone	00:55:24	We had communications via emails many times. Due to the informant's busy schedules, I did the interview via phone.
Homes England	E1	Representative from the Rural and Communities department		25-Jul-18	Phone	0:42:32	

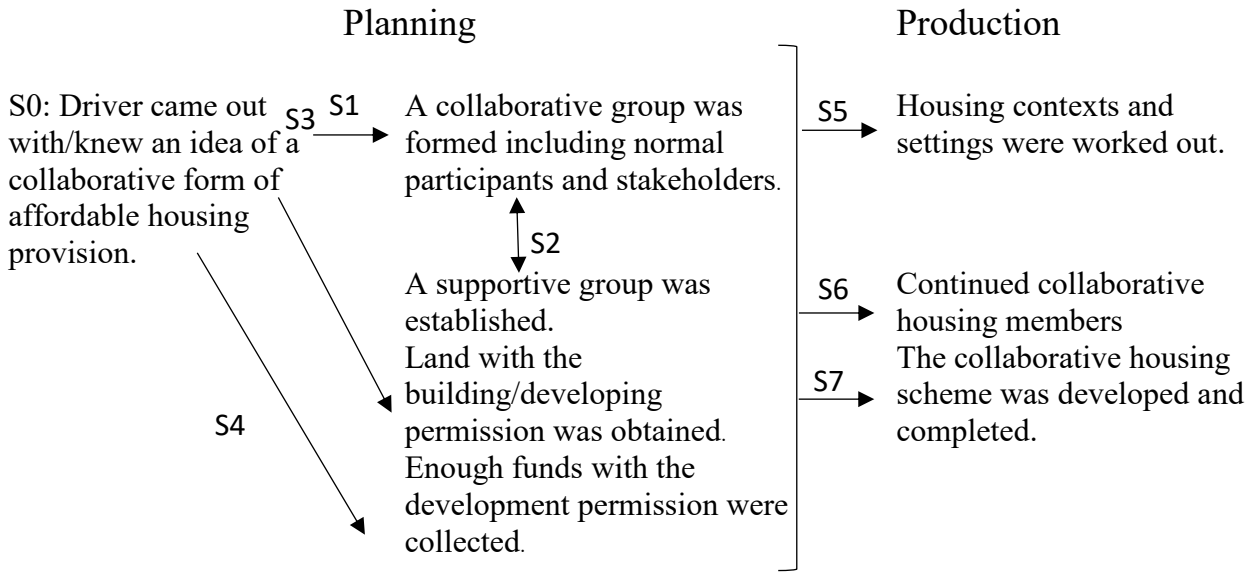
Appendix 13-2: List of Chinese interviewees

China							
Programme	Code	Position	The first interview: date and time (hours: minutes: seconds)		The second interview: date and time (hours: minutes: seconds)		Note
Tianjin Jinhe Community	T1	[redacted] leader [redacted]	23/01/2018 (Morning)	01:22:14	24/01/2018 (Morning)	02:08:29	Face to face
Tianjin Jinhe Community	T2	[redacted] the TJC [redacted]	24/01/2018 (Evening)	01:51:46			Face to face
Tianjin Jinhe Community	T3	An accountant [redacted]	25/01/2018 (Evening)	01:12:53	26/01/2018 (Evening)	01:57:29	Face to face
Tianjin Jinhe Community	T4	[redacted] Nanhe Agriculture- Industry enterprise [redacted]	26/01/2018 (Morning)	01:01:02	27/01/2018 (Morning)	01:10:23	Face to face
Tianjin Jinhe Community	T5	[redacted] the construction company	27/01/2018 (Morning)	00:23:02			Face to face
Tianjin Jinhe Community	T6	An urban purchaser without the Nanhe village resident account	10/02/2018 (Evening)	00:32:54			Face to face
Tianjin Jinhe Community	T7	An individual purchaser with the Nanhe village resident account	11/02/2018 (Morning)	00:49:41	11/02/2018 (Evening)	01:34:19	Face to face
Tianjin Jinhe Community	T8	A village representative [redacted]	12/02/2018 (Morning)	00:29:44	13/02/2018 (Morning)	00:32:32	Face to face
Housing Provident Fund Supervision Department of Ministry of Housing and Urban-Rural Development of China	C2	Representative from the Housing Provident Fund Supervision Department of Ministry of Housing and Urban-Rural Development of China	02/12/2017	02:00:59			Face to face
Shanghai Yongquan Community (was developed by Shanghai Gongzhu Real Estate Company)	S1	[redacted] Shanghai Yonyquanyuan Community and [redacted] of Shanghai Hezhu Company	From 05/12/2017 to 05/01/2018	Around 60 hours			Face to face; Worked at the Shanghai Hezhu Comoany for one month and there were more than thirty communications with Mr X
Shanghai Yongquan community	S2-	[redacted] Shanghai Hezhu Company	27/12/2017	00:27:27			Face to face
Shanghai Yongquan Community	S3	One member of Shanghai Gongzhu Real Estate Company ([redacted])	03/01/2018	01:08:55			Interview via phone
Shanghai Yongquan Community	S4	One member of Shanghai Gongzhu Real Estate Company ([redacted]	04/01/2018	01:56:03			Face to face

		[redacted])					
Shanghai Yongquan Community	S5	One member of Shanghai Gongzhu Real Estate company ([redacted])	05/01/2018	02:37:33			Face to face
Shanghai Yongquan Community	S6	One member of Shanghai Gongzhu Real Estate Company ([redacted])	02/01/2018	02:48: 57			Face to face
Shanghai Yongquan Community	S7	[redacted] housing programme supervision and management	05/01/2018	01:11:15			Face to face

Appendix 14: The contextualised ordering framework

In Stage 3, I questioned 'why the Beijing CSH programme was not enacted' and used abduction to understand this event and interpret this collaborative housing idea. I created a contextualised ordering framework with two housing planning and production stages based on the initial study, learning from the logic of collective action (Olson, 2009), resource dependency theory (Pfeffer and Salancik, 2003), and causal explanation (Sayer, 1992). Olsen's theory focuses on the public good consumers engaging in provision, and highlights the efficiency in small-scale economy, which largely meets the features of modern collaborative housing projects. Resource dependence theory was used to design the idea of 'the satisfaction with bundles of rights and associated positions in the collaborative housing (CH) initiative' as a measurement unit to analyse a participant's decision in each stage and to explain how they impact on the development. I assumed that apart from resources, the collaborative housing conditions and terms structuring participants' rights and positions affected the enactments, in which an independent citizen can enter, continue and stop their actions in part and in full given the voluntary nature of this idea. Also, these rights and positions of different actors might change in different developing stages. Conditions in the framework were designed to analyse the role of five pillars in the development of collaborative housing by the qualitative multiple case analysis. This framework learned from Sayer's structure of causal explanation in which '[Collaborator] uses their capabilities [underpinned by their powers and liabilities under certain conditions] to achieve a [Result]' (Easton, 2010, p122). This preliminary framework helped to check the results and tracked the clues of pre-conditions in multiple case studies.



Setting		Assumptions (A), Conditions (C) and Notes (N)
0	A	1) A driver realised insufficient affordable houses for the public in the society.
	c	1) There were insufficient affordable housing product provisions in the society. 2) There were groups in need of affordable housing.
	N	A pre-hypothesis is the shortage of affordable housing.
1	A	1) A driver used his/her resources and capabilities to identify, call for and persuade initial actors that include normal participants who were in housing need, and stakeholders. 2) Initial actors used their resources and capability to persuade more participants and stakeholders.
	c	1) The driver and initial actors had approaches to access more participants and stakeholders. 2) Initial actors were satisfied with their bundles of rights and associated positions in the CH initiative at that moment, and then agreed with the idea.
	N	In the paper, the driver, normal participants and stakeholders were named as 'collaborators' in this stage, due to their overlapping identifications in the period of the development of collaborative housing project in practice. Meanwhile, the identifications of collaborators were different in different stages, which will be clarified based on the specific situation in each case.
2	A	1) Collaborators used their resources and capability to buy knowledge, techniques, and services from professional individuals/sectors, such as lawyers, banks and building groups.
	c	1) Collaborators were satisfied with their bundles of rights and associated positions in the CH initiative at that moment, and then agreed with the activity. 2) Professional individuals/sectors had the knowledge, techniques and services they needed in practice. 3) Professional individuals/ sectors were satisfied with their bundles of rights and associated positions in the CH initiative at that moment, and then agreed with the deals or contracts.
	N	This supportive group only provided their services without any interests from the collaborative housing schemes, apart from their remuneration.

3	A	1) Collaborators used their own resources and capabilities (knowledge and approaches) to secure land and the developing permission to build/develop affordable houses. 2) Collaborators used professional help to secure land and the developing permission to build/develop affordable houses. 3) Collaborators used their resources and capabilities (knowledge and approaches) and professional help to secure land and permission to build/develop affordable houses.
	c	1) Collaborators were satisfied with their bundles of rights and associated positions in the CH initiative at that moment and they contributed their land if they had a certain deal. 2) There were approaches to secure land. 3) The land provider(s) were satisfied with the deal(s), contracts or other forms of benefits to provide the land resource to develop the CH scheme. 4) The local government was satisfied with their bundles of rights and associated positions in the CH initiative at that moment, and then gave the building/developing permission.
	N	Some collaborators developed the CH scheme by using existing houses in practice. This thesis also employed 'the concept of land' underlying the housing to present this phenomenon.
4	A	1) Collaborators used their own resources and capabilities (knowledge and approaches) to secure funds to build/develop affordable houses. 2) Collaborators used the professional help to secure funds to build/develop affordable houses. 3) Collaborators used their resources and capabilities (knowledge and approaches) and the professional help to secure funding to build/develop affordable houses.
	C	1) Collaborators were satisfied with their bundles of rights and associated positions in the CH initiative at that moment and then contributed their money. 2) There were financial approaches to secure enough money or strategies for the completion of the CH scheme. 3) Financial lenders provided the funds to develop the CH scheme.
5	A	1) Collaborators used the weight of collaborators' goals and resources to work out the contexts and settings of collaborative housing, including housing price, ownership, hesitation right, allocation conditions, tenure, households' rights and responsibilities. 2) Collaborators used professional help to work out the contexts and settings of collaborative housing, including housing price, ownership, hesitation right, allocation conditions, tenure, households' rights and responsibilities. 3) Collaborators used the weight of collaborators' goals and resources and professional help to work out the contexts and settings of collaborative housing, including housing price, ownership, hesitation right, allocation conditions, tenure, households' rights and responsibilities.
	C	1) Collaborators were satisfied with their bundles of rights and associated positions in the CH initiative at that moment and then agreed with the housing contexts and settings. 2) The housing contexts and settings were compatible with local policies and laws.
6	A	1) With the development of the housing project, certain collaborators continued to participate in the group to carry out the housing project. 2) There were new collaborators or potential housing buyers that joined in the housing project.

	c	1) In practice, some collaborators were either not satisfied with all housing contexts of design, allocation/purchase, bundle of rights and responsibilities created in Setting 5, or had other reasons to withdraw from the housing project. 2) There were consumers in housing need who were satisfied with the contexts and settings, including collaborators and the wider public.
	N	During the period from planning to construction, there was some flow of collaborators, including participants or stakeholders, who might want to withdraw from the housing project. Their leaving might cause a lack of funds, land or other important resources or skills, which would significantly affect the development of the housing project and future outcomes.
7	A	1) Collaborators totally used their own knowledge, techniques, land and financial sources to conduct the CH scheme. 2) Collaborators totally used professional help to conduct the CH scheme. 3) Collaborators used their own knowledge, techniques, land and financial sources and professional help to conduct the CH scheme.
	C	1) Collaborators were satisfied with their bundles of rights and associated positions in the CH initiative at that moment, and then agreed with the housing design/developing plan. 2) The CH scheme was compatible with the local policy and law.

The contextualised ordering framework (Source: the author)

Appendix 15: Example of the retroductive analysis

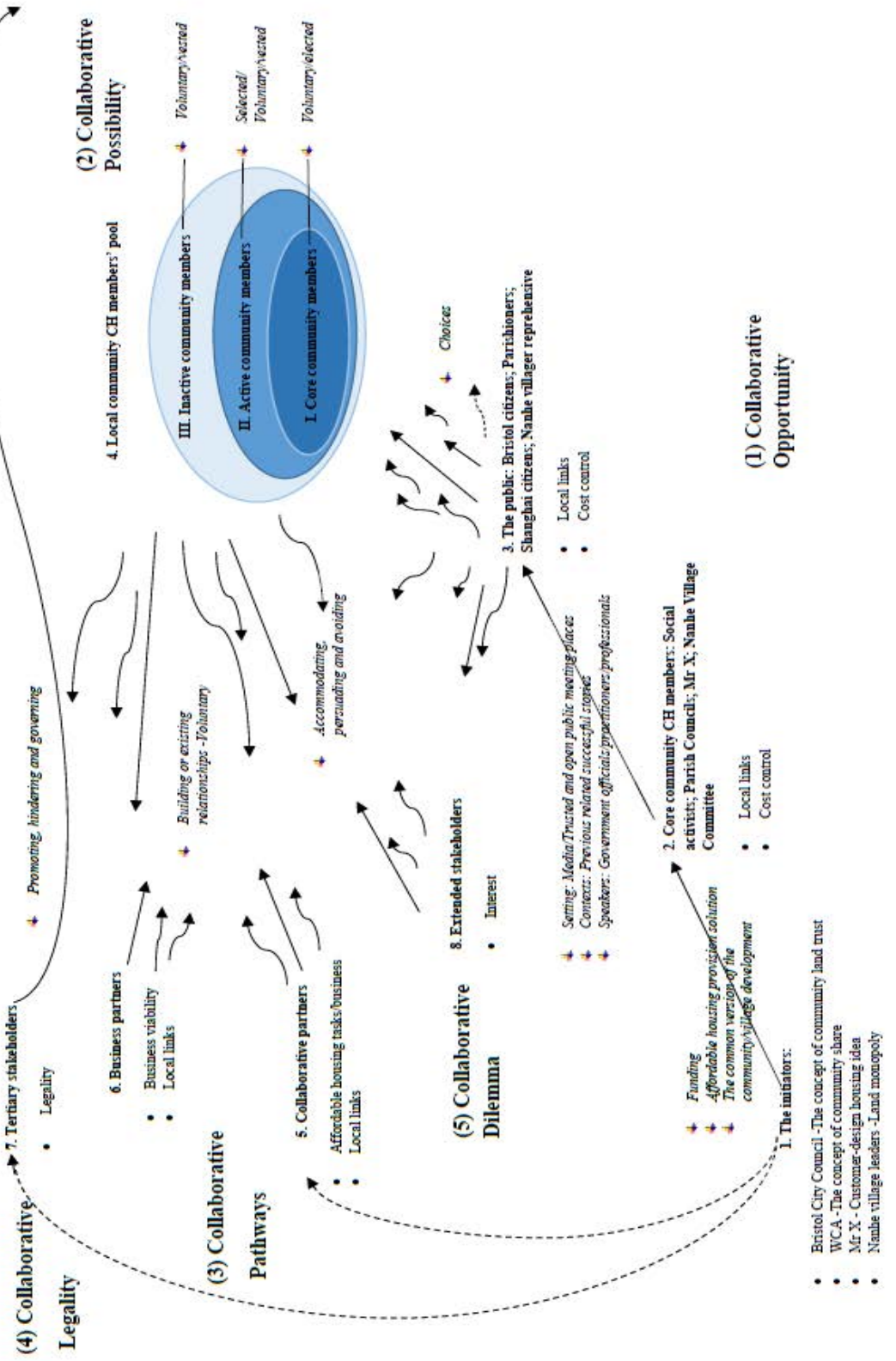
Regarding retroduction, I categorised groups of stakeholders and re-constructed the relationships between resources, developing patterns, roles and rights, which promoted the second emerging question and lead to analytical layer 2 (See Figure 3-3 in the thesis). In this created layer, it discovered the dynamic of power in developing collaborative housing over time by answering the layer 1 emerging question of 'how to interpret the language from informants' predictions and review factors'. According to the results from layer 2, I proposed a hypothesis: 'Why were few people interested in the first BCLT project in 2008 but supporting it in 2010, if the local collaborative housing groups' subjective predictions about the potential benefits of collaborative housing did not change significantly within two years?' This inquiry indicated that it was necessary to analyse the external conditions affecting collaboration among individuals to discover the fundamental conditions of the occurrence and development of collaborative housing in societies. So I used the preliminary framework to check the results of multiple case studies (Appendix 15-1). Appendix 15-2 shows the key variables under specific circumstances in influencing the enactments successfully across the four cases, in line with the theorising purpose of discovering enabling mechanisms. According to the power flow in leading and affecting the development, I defined five stages, which mixed the Settings 0-7. These categorised five stages evolved depending on the specific interactions between different interest groups and local socio-economic and legal contexts in practice. For example, the legality of CLT affected the occurrence from the very beginning in the English cases. The first stage, *Collaborative opportunity*, is defined as the event or set of circumstances that made initiators and core members agree on the solution to affordable housing provision. The second stage, *Collaborative possibility*, indicates the formulation of the local community collaborative housing members' pool and communication among members. It implies the power in decision making of whether to implement the project or not, shifting to the local public from the initiators and core members. The last three stages were the specific circumstances under which local community collaborative housing groups communicated with external environments. The third stage, *Collaborative pattern*, is a dynamic process of seeking out and working with the appropriate collaborative and business partners. The fourth and fifth stages, *Collaborative legality and dilemma*, refers

to the rationality for, and the obstacles to, the collaborative housing model in affordable housing provision, which are mainly seen as access to public land and finance from the state and the public opinion about the housing building and related location. The five stages were used to analyse the semi-regulatory provision mechanism of a collaborative housing project in practice in theorising Step 1.

Appendix 15-1: Questions of pre-conditions of the development of collaborative housing (CH, which is also used in Appendix 15-2) (Source: The author)

Five stages of enacting CH	Questions of preconditions	The basis of questions in Appendix 14
1. Collaborative opportunity (including the first three actions that incorporated the analysis of the predevelopment contexts)	1) What were characteristics of core CH members generating the production of CH?	Based on Condition 1 in Setting 1
2. Collaborative possibility (the fourth action)	2) What were collaborative principles and institutions causing the large-scale and easy involvement of these target local people in CH projects and managing the withdrawal behaviours?	Based on Condition 2 in Setting 1
3. Collaborative pattern (the fifth and sixth actions)	3) What were collaborative principles and institutions guaranteeing the collaboration among CH supporters and addressing the conflicts and withdrawal actions?	Based on all conditions in Settings 2-7
4. Collaborative legality (the seventh action)		
5. Collaborative dilemma (the eighth action)	4) What were land and finance features making them available for supporting CH to be enacted and managing the issues from these two types of individual or combined force?	

Appendix 15-2: Developing pathways of four CH case projects (Source: The author)



Appendix 16: Case study development timelines

Appendix 16-1: The main development events of Bristol CLT

Stage	Date	Main events
Initial stage	**2008**	**BCC's first non-implementation of the idea of Community Land Trust** • BCC sought to employ the idea of Community Land Trust to deliver affordable housing across the city in 2008. • It recruited a specialist to conduct a feasibility investigation and organised some local CLT promotional meetings. However, during the period of study, few people were interested in the CLT housing model and few attended communities' meetings, which caused the plan of creating a CLT not to be implemented in reality.
Planning stage	**September 2010**	**BCC's second implementation of the idea of Community Land Trust** • It organised a public meeting and invited local social activists to talk about the idea of CLT housing model in providing affordable housing. Supporters of social activists became the core members of BCLT. • BCC set aside £300,000 from its approved Enabling Budget (total £1million), to be made available as a CLT Capital Fund to undertake predevelopment/feasibility work.
	January 2011	**Recruiting Bristol CLT members** • The core members of BCLT officially launched the promotional campaign with the help from local housing campaigners. The well-attended event demonstrated the appetite for the project and was instrumental in persuading members of the Council that the project was worth supporting • Board members (main actors): The CLT Management Board was made up of professional persons in architecture, law, finance, local housing activists, and local politicians. • There were also 150 citizens as members (buying membership with £1).
	April 2011	**The establishment of Bristol CLT** The Bristol CLT was formally constituted.
	October 2011 to January 2012	**Recruiting the development officer and partnering with United Community and seeking for land for housing** • BCLT appointed the development officer who worked closely with the Board and built the relationship with United Communities' development team. • Thirty possible sites were evaluated.
	July 2012	**Applying for the planning permission** • BCLT applied for planning permission for 325 Fishponds Road.
	September 2012	**BCC transferred the land with £1** • BCC approved the sale of 325 Fishponds Road to the BCLT for £1 after it went through the process of dealing with public surplus land. There were other housing agencies or organisations interested in the land at the 325 Fishponds Road.
	December 2012 to December 2013	**Financial risks arising from the changing government system** • BCLT first project stalled due to change of administration at the council affecting the government grants in investing in BCLT project. • During this time construction costs increased. • BCLT sought a range of lenders and regarded Charity Bank as its preferred funder. However, changes to HCA funding rules in (100 per cent grant on completion, rather than 50/50 in tranches) meant the council had to provide written assurance to Charity Bank that £100,000 was to be placed in an escrow account to act as security against unforeseeable cost over-runs.

		The interruption of local groups • A local bat group halted works for four to five weeks to investigate the issues of bats. No bats were found.
	March 2014	**Multiple financial sources** • BCC invested £200,000 grant plus £100,000 underwriting of loan. • BCLT found alternative lender (Community Land & Finance CIC) who didn't require the council to underwrite costs, which freed up development finance for second project. CLT begins tender process to select a contractor.
Allocation/ Consumption stage	**From April 2013 to October 2015 (before the self-finishers' training)**	**Important conditions**[5]: • 2 affordable rental housing units were directly allocated by Bristol CLT with the requirement of being a Bristol CLT member • 3 affordable rental housing units were allocated to applicants on the HomeChoice Bristol housing register. • 7 shared ownership housing units were offered to Bristol CLT members via South West Homes based on South West Homes' eligibility criteria. • All applicants were required to be willingness to consider 'self-build' or 'self-finish'
Construction stage	**December 2014**	**Recruiting the builder** • Jones Building Group of Portishead was the constructor from the tender process. • Several rounds of value engineering were required due to rising construction costs in the market.
	Summer 2015	**The project broke ground.**
		The interruption of local groups A local bat group halted works to investigate the issues of bats again. No bats were found.
	October 2015	**Training Bristol CLT housing users** • Self-finishers began training – including toolbox talks, health and safety and spending some time on the contractor's other sites
	March 2016	**Self-finishing BCLT housing.** • The contractor left site after the practical completion of the project. The self-finishers began to fit out their homes.
Completion & Next developme	**25 September 2017 (from it to present)**	**The completion of the housing project and residents moved in.** The second CLT housing project at Shaldon Road, Bristol. 49 sustainable and affordable housing is planned to build. Its planning permission was approved in September of 2017, and is supposed to be completed in 2020.

(The main events of BCLT project were derived from the multiple archival documents and interview transcriptions. One of main sources was the case study of Bristol CLT written by National Custom & Self Build Association [Online]: https://righttobuildtoolkit.org.uk/case-studies/bristol-clt/# (Access 12 January 2019)) (Source: The author)

[5] See document [online]: https://bristolclt.files.wordpress.com/2013/04/325-fishponds-rd-bcc-allocations-policy-final.pdf (Access 13 January 2019).

Appendix 16-2: The main development events of WCLT

Norton Sub Hamdon CLT Case

Stage	Date	Events
Initial stage	In 2005	**The unimplemented previous affordable housing plan** • Norton sub Hamdon Parish Council carried out the housing survey and found ten affordable housing units were needed. • The site at Minchingtons Close was proposed to deliver affordable housing. • The project failed for various reasons, such as local opponents and the cessation of available government funding.
Planning stage	Late 2011	**The Parish Council was informed the idea of Community Land Trust** • WCA informed the Parish Council on how to establish a CLT and applied for affordable housing funding from the Homes and Communities Agency under the Government's Big Society Agenda and Community Involvement policies.
	February 2012	**The Establishment of NCLT and the formation of the steering group** • The Parish Council hosted a public meeting about the formation of a Community Land Trust (CLT). • A steering group of NCLT was formed.
	July 2012	**Recruiting members** • The Steering Group was elected as the first Board of Directors of NCLT. • Original board members (main actors): Persons having had their own family issues, needing housing for a family member or for a close friend and others with different backgrounds (members from parish council and local housing activist) but most of them were the middle-aged and elder people • A large number of villagers joined in the NCLT as members with £1 membership.
		The land at Minchingtons Close was bought from the landowner who required the benefit from the CLT housing project to be used in the Norton village. • This Minchingtons Close was the site proposed in 2005.
	December 2012	**The planning permission was granted.** • Issues, such as possible drainage and flooding issues, housing layouts, 'not in my back yard', and the candidates standing against the NCLT in the parish council bi-election, were addressed.
		Multiple financial sources • Yarlington Housing Association was in charge of the financial affairs. • The initial funding was the agricultural subsidy • The HCA community-led housing fund • Yarlington Housing Association raised the money from a housing group by demonstrating the viability of the NCLT project in its partnering project.
		NCLT housing design • The NCLT was consulted on housing design and required the housing unit to be consistent with local housing situations, such as style, materials and other elements. It proposed the concept of 'local connection criteria' of housing design.

Allocation and	7 March 2013	**Yarlington Housing Association was in charge of the selection of the CLT housing users, but with three important conditions**[6]: • '*For people who came from Norton Sub Hamdon* • *For people who belong and work in Norton Sub Hamdon* • *For people with close relatives in Norton Sub Hamdon*'
Constructi on stage	October 2013	**Recruiting the builder** • A local construction group, Brookvale, took the construction task.
Next & Completion development	3rd October, 2014	**The opening event for our affordable houses occurred**. • The residents moved in. • Shared ownership housing: 1 x 3 bedrooms and 1 x 2 bedrooms • Affordable rental housing: 8 for to rent - a selection of 1, 2 and 3 bedrooms
	In 2014	**Norton Sub Hamdon took over the only Norton Shop and post office in the community.** • With support from WCA, NCLT took over the Norton Shop (including the local post office), the only community shop, with six-year lease based on the community share, benefits from the NCLT project and additional grants from the third sector.

The main events of first Wessex CLT project (Source: Main contents were from the history written by Norton Sub Hamdon Community Land Trust [Online]: http://nortonclt.btck.co.uk/CLTBackgroundHistory (Access 12 January 2019) all information was double checked based on the information derived from multiple archival documents and interview transcripts.) (Source: The author)

Seymene CLT Case

Stage	Date	Events
Initial stage	In 2008	**Symondsbury Parish Council carried out the housing survey and found the housing need.** • A housing need survey was carried out by the local Rural Housing Enabler and showed a significant level of housing need.
	2008	**The Parish Council knowing the idea of Community Land Trust** • Symene CLT was formed based on the advice from Community Finance Solution, a research institute based at the University of Salford and funed by the Walbridge Trust • Original board members (main actors): Persons having had their own family issues, needing housing for a family member or for a close friend and others with different backgrounds (members from parish council and local housing activist) but most of them were the middle-aged and elder people
P l a	2010	**Seeking for land and partnerships**[7]

[6] Information [Online]:http://www.nortonclt.btck.co.uk/PreviousEvents (Access 14 January 2019)
[7] Source: https://www.slideshare.net/HACThousing/partnerships-between-cl-ts-and-housing-associations-steve-watson (Access 12 January 2019)

		• WCA- the Wessex CLT project informed the local parish council and Symene CLT the partnership strategy with local housing association (Hastoe Housing Association) to deliver affordable housing. • Symene CLT looked for land for a long period.
		Buying the land • The land on the outskirts of Bridport on land bordering Symondsbury was brought from the landowner who was one of board member of Symene CLT and esteemed the idea of the CLT project in affordable housing provision and keeping the benefit from the CLT housing project in the village with an affordable price.
		Government grants • The grant from the HCA and a smaller amount from West Dorset District Council
	2013	**A planning application was submitted to West Dorset District Council.** • Two conditions when the planning permission was approved. • The major challenge once the site had been identified was to design the scheme such that it conformed to the Environment Agency's recent and more stringent flood risk criteria because of the proximity of the River Symene. Various approaches to managing the flood risk were considered before it was agreed that the best approach was to raise the southern part of the development by moving it a little way north and further away from the flood plain[8]. • A further challenge was to design road access via the existing access road in a way that was acceptable to the Highways Authority. The road was already used as an occasional entrance route to the larger site which includes allotments as well as the exit route for traffic leaving the Medical Centre car park[9].
		Housing design • The SCLT figured out the door facing to another house's window issue and changed the design. • The SCLT originally wanted to build timber-frame-based houses with the straw bale construction, which was advantageous in the low-embodied energy (environmental-friendly and sustainable properties), low construction cost, and easy and cost-efficient to install. • However, the local housing builder lacked technical knowledge in this kind of building. • This kind of housing design caused the complex construction procedure and need more staff, perhaps more housing construction groups. Hastoe Housing Association preferred to only recruit one housing builder to take over the construction task concerning the easy construction approach with bricks and mortar • Local parish council preferred the traditional housing style rather than the new thing.

[8]Source: http://www.symeneclt.org.uk/symene-clt-given-planning-permission-for-west-road-development/nggallery/thumbnails (Access 12 January 2019)
[9]Source: http://www.symeneclt.org.uk/symene-clt-given-planning-permission-for-west-road-development/nggallery/thumbnails (Access 12 January 2019)

		• SCLT attitude was 'pragmatic' in terms of the housing completion. '*So my um, attitude is quite pragmatic in in terms of that. Um. Ok, so that's the end of the project, the actual science*' (WS4, Chair and secretary of SCLT).
	February 2014	**The planning permission was given.**
Allocation and consumption		**Hastoe Housing Association was in charge of the selection of the CLT housing users with two important conditions** • '[Who is eligible for a CLT house?] Those on the West Dorset District Council Joint Housing Needs Register who have family or work or residency or education connections to Symondsbury or the surrounding villages'[10]. • '[Do I have to join the CLT to be eligible for a CLT-built house?] No, the allocation of CLT-built houses is purely on the basis of housing need and connection to Symondsbury parish'[11]. • According to the local housing survey, SCLT wanted to provide four affordable housing units for local single people. However, there were only two single people obtained the housing units due to the existing affordable housing requirements under the funding condition of SCLT from HCA. These two single persons shared one housing unit.
Construction stage	March 2014	**Housing construction** • Construction were by local builders C G Fry & Son.
Next development & Completion	22 May 2015	**Symene Community Land Trust and Hastoe officially opened a new affordable housing development for the local people of Symondsbury.** • Shared ownership housing: 1 x 3 bedrooms and 1 x 2 bedrooms • Affordable rental housing: 5 x 2 bedrooms, 2 x 3 bedrooms and 1 x 4 bedrooms
	Present	**A newly planning affordable housing project with a commercial housing provider in the local commercial housing development** • A commercial real estate is seeking to work with the SCLT to develop a housing project.

The main events of SCLT project (Source: Main contents were from information provided by Symene Community Land Trust [Online]: http://www.symeneclt.org.uk/ (Access 12 January 2019) and all information were double checked based on the information derived from multiple archival documents and interview transcripts.) (Source: The author)

[10] Source: http://www.symeneclt.org.uk/frequently-asked-questions/ (Access 12 January 2019)
[11] Source: http://www.symeneclt.org.uk/frequently-asked-questions/(Access 12 January 2019)

Appendix 16-3: The main development events of SYC

Stage	Date	Events
Initial stage	1995	**Career** Mr X established Shanghai's first professional real estate planning company and was very successful in the real estate industry.
	1996	**The emerging idea of customised housing** Mr X identified the limits of the standard dwelling types built in the real estate industry and formed the idea that the real estate should sell the 'happiness' to the public not just a housing unit. Therefore, he came out the idea that the real estate developers should customize the housing design and construction according to the actual needs of the buyers.
	2001	Mr X established Shanghai Qianshenghui Investment Consulting Co., Ltd., and carried out multiple approaches to individual-led housing practices through traditional newspapers, flyers, etc.
	After 2002	The real estate market price in Shanghai gradually increased, which made individual-led housing practices difficult. Then the company's employees could not understand that Mr X gave up the benefits of the ready-made increased price, and then left the company.
	2004	**The emerging concept of 'collective-wisdom self-build housing'** Mr X proposed the concept of 'collective-wisdom self-build housing' ('集智建房' in Chinese) to present his idea of customized CH.
	2006	During the long-term co-operation relationship with real estate companies, Mr X, despite convincing a number of real estate companies to cooperate, eventually lost many times because of the continued rise in housing prices.
	2007	Mr X tried to partner with a real estate company who owned the land, but with unpaid land debts to the government. The government required that this land should be obtained to use through the land lease auction.
	2008	**The support of the government in Taicang, Zhejiang** Mr X's concept of collective-wisdom self-build housing was encouraged by the Taicang city government, in Zhejiang Provence.
	6 August 2009	**A piloted successful CH in Taicang, Zhejiang** Mr X-led housing project secured the land (No. TCHJ2009-30) plot in the land lease auction in Taicang City, and successfully obtained the first project trial operation with the planning permission. In this project, there were 18 participants in housing need and 3 stakeholders (investors). However, because of the imperfections of the system, investors wanted to raise prices. Finally, Mr X sacrificed his own interests and guaranteed 18 ordinary participants to get the house at the contract price.
	March 2011	**Residents moving in the community** 18 participants obtained their housing units with the price 30-40% lower than surrounding market housing price.
Planning stage	2012-2013	**Recruiting members** The owner (Mr X) of the Shanghai Hezhu Real Estate Co. Ltd called for citizens who were interested in a CH project. **Original board members (main actors):** There were 34 participants who were normal Shanghai citizens in housing need gradually involving in the housing project (there was one lady in housing need joining in the project just after the successful land bid).
	17 January 2013	**Wining the land bid for housing (with the planning permission) in lease auction** The Shanghai Hezhu Real Estate Co. Ltd on behalf of 34 participants who were normal Shanghai citizens in housing need bid for the WNW-A1-3-1 plot of the main city zone of Lingang New City, Shanghai.

	7 April 2013	**Raising finance and establishing the Steering Group (finance supervision) of the CH project** The owner of the Shanghai Hezhu Real Estate Co. Ltd (invested 250, 000 yuan) collaborated with 34 normal Shanghai citizens (commonly invested 19.55 million yuan) to jointly set up a limited partnership company, Shanghai Hezhu Investment Management Center (‘上海共筑投资管理中心’).
	2 July 2013	**Establishing the CH organisation** The owner of the Shanghai Hezhu Real Estate Co. Ltd collaborative with these 34 normal Shanghai citizens to jointly set up a limited partnership company, Shanghai Gongzhu Real Estate Co. Ltd (‘上海共筑房地产公司’).
	After July 2013	**Authorising cooperative development, raising finance and designing housing** Shanghai Hezhu Investment Management Center (‘上海共筑投资管理中心’) fully commissioned Shanghai Gongzhu Real Estate Co. Ltd (‘上海共筑房地产公司’) to implement the housing project. The Shanghai Hezhu Real Estate Co. Ltd was responsible for the second financing and obtained 80 million yuan (In fact, this 80 million yuan was the personal asset of the owner of the Shanghai Hezhu Real Estate Co. Ltd). Two types negotiations of main discussions and negations about the SYC housing and community designed had been made between 34 participants, The Shanghai Hezhu Real Estate Co. Ltd, and local government.
		Housing and community design In the community, there are 5 buildings. 4 multi-storey dwellings (2 8-floor and 2 12-floor buildings) are built for 80 residential housing units with an area of 67-254 square meters. Among these 80 housing units, 10 apartments are policy-oriented housing required by the regulations about the urban housing development. A community service center serving for multiple purposes, such as shopping, sport, recreational and entertainments activities, and spaces for the neighbour committee and the property management organisation. Housing unit features: The housing design is a national invention patent. It innovates an upstairs and downstairs, room and living room all facing south, and has vertical greening and one-to-one air villa-style products. Community features: It embraces the features of the enclosure layout and open block.
Construction stage	From May 2016	**Construction and supervision** The housing project began to be built. Shanghai Gongzhu Real Estate Co. Ltd contracted with Zhejiang Shunjie Construction Group Co. Ltd to construct the housing. One participant‘s father professionalised in housing development supervised the housing construction.
Allocation/ Consumption stage	2019	• It is estimated that in 2019 the housing allocation and consumption stage will be completed.

The main events of the Shanghai Yongquan Community project (Source: Main contents were from interviews of Mr X during the internship period at Shanghai Gongzhu Real Estate Co. Ltd from December 2017 to January 2018 and all information were double checked based on the information derived from multiple stakeholders’ interviews and archival documents.) (Source: The author)

Appendix 16-4: The main development events of TJC

Stage	Date	Events
Initial stage in the first-stage TJC	Before 2000	**Land for housing issue** • In the 1980s, in the state-promoted village collective enterprise model, the Nanhe village leader and the village committee gradually led to the change of parts of Nanhe agricultural land use to the construction land, particularly during the time in which the government made the 1990-2005 land use plan. • Nanhe village suffered a housing shortage with the population increase since the 1970s, as Nanhe village had been not permitted to allocate any house sites[12] (‘宅基地’ in Chinese) in accordance to the government plan of saving agriculture land • Since 1970, a small-scale residential land was permitted to build houses. The free exchanges of villagers’ residential land (including houses) among villagers were the main strategies to address housing shortage issues.
	1999	**Report of housing and land issues (sent to the government)** • It highlighted the situation that two and even three generations were found to live in one dwelling with two or three bedrooms upon one house site. The village housing shortage issue also led to marriage issues of the young generation due to their having no place to live in. • There was empty collective land with the planning permission of the construction use in the village. • Name list of villagers in housing need • 50,000 yuan for each villager in housing need to show the local authority. This 50,000 yuan was described by villagers as ‘villagers’ earnest money’ (‘诚意金’in Chinese).
		Board members (main actors) • Nanhe village committees (on behave of all villagers based on the democratic discussions and meetings)
		Government land acquisition • The state (Tianjin) planned to acquire parts of Nanhe collective land for a public infrastructure scheme (an aircraft fuel pipeline project from Tianjin Port to Beijing International Airport), which was via Nanhe village.
Planning stage	2000	**Planning permission and land for housing quota** • The Tianjin Municipal government (Tianjin Development of Reform Commission) approved the planning permission of the Nanhe village housing plan. • The land for housing supply quota in Stage 1 of TJC was obtained from the Hexinzhuang village (‘河兴庄’ in Chinese).
		Housing, community and infrastructures design in Stage 1 and 2 • TJC’s two-stage housing design were designed by Tianjin Architecture Design Institute, which was the largest comprehensive architectural design unit in Tianjin. • Nanhe village required the apartments to be facing south because this housing direction is designed to have the essence of nature, particularly the sunshine and moonlight in Feng Shui (‘风水’ in Chinese). Meanwhile the representativeness of Nanhe village committee particularly highlighted the larger gaps between buildings than that of urban communities based on the consideration of the privacy protection and the

[12] ‘House site’ was the terminology in the English version of China’s Land Administration Law

		advantageous condition of large-scale and free collective construction land.
		Multiple finance • Nanhe village collective asset (around 1 million yuan) • Housing purchasers' deposits (50,000 yuan for each person) • Loans from the housing builder in Stage 1 of the TJC project
Construction stage		• Stage 1 of TJC (4 x 6-floor apartment buildings) was built by the builder and completed in 2002.
Allocation & Consumption stage	2003	**Housing in Stage 1 of the TJC project was sold with the three conditions:** • Nanhe villagers (refer to households with Nanhe residential accounts 'hukou' (户口) in Chinese[13]) • Nanhe villagers had the pre-emptive right based on the order of purchase registration.
Initial stage in the second-stage TJC	2006	**Report of village revitalisation (sent to the government)** • In line with the policy of 'new socialist countryside construction' ('社会主义新农村建设') in 2006, the village committee sent its housing report to present villagers' housing conditions, demands and aspirations to the government, and applied for the land for housing supply quota and planning permission. • Different from Stage 1, when the village decided to launch the housing project before finding construction organisation, Nanhe buyers paid 50,000 yuan to the village committee, which was attached to the report to the government.
		Government land acquisition • The state (Tianjin) planned to acquire parts of Nanhe collective land for a public infrastructure scheme (the railway freight yard was planned to be expanded), which was near the Nanhe village.
Planning stage		**Planning permission and land for housing quota** • The Tianjin Municipal government (Tianjin Development of Reform Commission) approved the planning permission.
		Land sources • Parts of land underpinned the Stage 2 of the TJC housing was transferred from Nanhe villagers with 40,000 per mu, which was planned construction land but leased to villagers to use[14]. • And parts of land was empty village collective construction land.
		Housing, community and infrastructures design was similar to Stage 1. • Only one different condition was the economic cost when deciding the floor number of the multi-storey buildings.
		Multiple finance • Nanhe village collective asset • Housing purchasers' deposits (100,000 yuan for each person which was gradually paid to the Nanhe village) • Loans from the housing builder in Stage 2 of the TJC project
Construction stage	2006	• Stage 2 of TJC (86 multiple-storey apartment buildings) was built by the builder. The first group bought apartments in 2009 and there were the second and third group buyers in 2010

[13] 'Hukou' ('户口' in Chinese) means the local residential account and represents as a local welfare right.
[14] Mu is a unit of land area in China, one mu is equal to 60 square feet, about 666.67 square meters.

Allocation & Consumption stage	2009,2010 and 2011	**Housing in Stage 2 of the TJC project was sold with the three conditions**: • Each Nanhe household with Nanhe hukou owning one house site had one housing purchase quota to buy an apartment with the price sold to the Nanhe villagers.
Completion & Next development	Since 2003 to present	**Housing property characteristics** • Housing properties at Jinhejiayuan, Jinzhong Villa and Jinyuhuating were Nanhe village collective properties.
		The profits of the two-stage TJC housing project • The profits of the two-stage TJC housing project were used to pay the TJC property maintenance fee in the community, and maintain and provide village public goods and services, such as road, electricity, communication, administration and other expenses.

(Source: Main contents were from interviews of different village committees who were in charge of the TJC project and all information were double checked based on observations, the information derived from multiple villagers' interviews and archival documents.) (Source: The author)

Appendix 17: Case analysis of the garden city movement

Five pillars		Secondary data
Actors	Cultural entrepreneurship	**Housing and related culture of Ebenezer Howard:** *Planner* **Capabilities (Corporate purpose):** *'To build by private enterprise pervaded by public spirit an entirely new town, industrial, residential and agricultural.'* (MacFadyen, 1970, p. 22) **Responsibility**: *'My stay in Chicago had great influence on my life - giving me a fuller and wider outlook on religious and social questions than I should have gained in England. A professional confrère, Alonzo M. Griffen, of a Quaker family (whom I met again in Detroit years afterwards), helped me greatly in the direction of perfect freedom of thought; and associated with this, a very deep sense of responsibility, and a clear perception that all values, to be rightly estimated must be assessed mainly by their influence on the spiritual elements in our nature. Thus, only can material conditions be widely and permanently improved. We became, as our friends remarked, like brothers.'* (MacFadyen, 1970, p. 22) **Collective cultural entrepreneurship** was '*essentially represented as a responsible and realistic effort by socially minded members of the middle class to come to grips with society's problems'* (Buder, 1969, p. 394).
Land	Land for development (common rights in land)	**Wealth and welling:** '*Generally the corporate ownership of the land gives stability to the city.'* (MacFadyen, 1970, p. 67) *'The creation of vested interests is minimised, and thus one of the greatest obstacles to improvement is removed and greater speed and precision in development is secured.'* (MacFadyen, 1970, p. 67)
	Spatial Justice for people with local links	Democratic discussion**:** '*The only way to find the happy mean between individualism and socialism was to allow the residents to decide matters for themselves*.' (Buder, 1969, p. 393)
	Tripartite governance	**Navigation (Final decision making about the land issue at the first** Letchworth Garden city community**) - Ebenezer Howard:** '*The problem which I will now endeavour to deal with, is, what should be our future policy in the light of the experience we have already gained I shall speak with that absolute frankness which I believe is always best, but entirely on my own responsibility, and for nobody but myself.*' (MacFadyen, 1970, p. 72) **At the second Welwyn Garden city community:** '*The evidence to the Committee continues with the management of the company. There were eight or nine directors appointed by shareholders, and three 'civic directors' appointed by the local authority. There is no managing director. Three of the shareholders' directors are responsible for the day to day direction.'* (MacFadyen, 1970, p. 129)
Partnerships	Limited liability	**Organisational feature**: *'That a Joint Stock Company, with limited liability, was the best and most practicable form for the organisation to assume at the outset.'* (MacFadyen, 1970, p. 70)
	Accountable collaboration	**Collaboration among collaborative housing supporters**: '*Greater public spirit in civic life and a larger measure of co-operation for the public good by the general body of citizens will result from the sense of the corporate ownership of land and the consequent knowledge that improvements in value will go to public ends.*' (MacFadyen, 1970, p. 67)
Land	Land under the use and governance inefficacy	**Empty rural land:** *'That there was terrible overcrowding in our great cities. That our country-sides were rapidly becoming depopulated.'* (MacFadyen, 1970, p. 69)
Finance	Different parties' financial metrics and priorities	**Financial decision-makers** (Without the involvement of housing users): 'In May 1919, Howard raised money from his friends to purchase the Panshanger Estate regardless of his first garden city association partners' against the second private enterprise scheme (Welwyn Garden city community). These opponents wanted the state assistant.' (MacFadyen, 1970, p. 119)

(Source: The author learning from MacFadyen, 1970 and Buder, 1969)

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